



NOTICE OF FUNDING OPPORTUNITY

Federal Fiscal Year 2019 State Homeland Security Program

AWARD INFORMATION

Federal performance period:	September 1, 2019 – August 31, 2022
Sub-recipient performance period:	Twelve (12) months
Individual competitive projects:	\$50,000.00 maximum award amount
Collaborative competitive projects:	\$150,000.00 maximum award amount

One applicant may fill out and submit multiple applications within IntelliGrants. It is possible the applicant may receive funding for multiple projects or none.

APPLICATION DEADLINE

Grant application(s) must be submitted no later than: **May 17, 2019, at 11:59 p.m.**

PRE-APPLICATION REGISTRATION REQUIREMENTS

Applicants intending to apply for this funding opportunity must meet four (4) registration requirements. Two (2) are federal and two (2) are state stipulations. Prior to submitting an application, an applicant must:

1. Have a federal Data Universal Numbering System (DUNS) number;
2. Be registered in the federal System for Award Management (SAM);
3. Be registered as a vendor with the State of Indiana; and
4. Be registered as a bidder with the State of Indiana.

Detailed information regarding DUNS, SAM, vendor and bidder registration are provided in this Notice of Funding Opportunity (NOFO) in Appendix A and should be reviewed and followed to ensure these requirements have been satisfied.

IDHS CONTACT INFORMATION

If applicants have any questions about the information contained within the NOFO or need technical assistance in completing a grant application, please contact IDHS Grants Management at grants@dhs.in.gov.

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PROGRAM OVERVIEW

Introduction

The purpose of the FFY 2019 State Homeland Security Program (SHSP) is to support state and local efforts to prevent terrorism and to prepare the nation for the threats and hazards that pose the greatest risk to the security of the United States. The FFY 2019 SHSP provides funding to implement investments that build, sustain and deliver the 32 core capabilities essential to achieving the National Preparedness Goal of a secure and resilient nation. The FFY 2019 SHSP supports core capabilities across the five mission areas of prevention, protection, mitigation, response and recovery based on allowable costs. The responsibility of building, sustainment and delivery of these core capabilities does not fall to any single level of government, organization or community, but rather requires the combined effort of the whole community.

The FFY 2019 SHSP assists local preparedness activities that address high-priority preparedness gaps across all core capabilities where a nexus to terrorism exists. All supported investments are based on capability targets and gaps identified during local assessment process and after the evaluation of data has been collected to determine the needs of the community.

Program Synopsis

SHSP supports the implementation of risk driven, capabilities-based State Homeland Security Strategies to address capability targets set in the state and local Threat and Hazard Identification and Risk Assessments (THIRAs) and Hazard Identification and Risk Assessments (HIRAs). The capability levels are assessed in the State Preparedness Report (SPR) and inform planning, organization, equipment, training and exercise needs to prevent, protect against, mitigate, respond to and recover from acts of terrorism and other catastrophic events.

Per federal grant guidance, activities implemented under SHSP **must support terrorism preparedness** by building or enhancing capabilities that relate to the prevention of, protection from, mitigation of, response to and recovery from terrorism in order to be considered eligible. All SHSP funded projects must assist applicants in achieving target capabilities related to preventing, preparing for, protecting against or responding to acts of terrorism. **Applications that do not contain a direct correlation to terrorism preparedness will be deemed ineligible for funding, regardless of demonstrated need and prioritization.**

Supporting the National Preparedness System and National Preparedness Goal

The National Preparedness System is the instrument the nation employs to build, sustain and implement core capabilities to achieve the goal of a secure and resilient nation. Complex and far-reaching threats and hazards require a collaborative and all-of-nation/whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations and all levels of government. The guidance, programs, processes and systems that support each component of the National Preparedness System allow for the integration of preparedness efforts that build, sustain and deliver core capabilities and achieve the desired outcomes identified in the National Preparedness Goal.

Capabilities are the means to accomplish a mission, function or objective based on the performance of related tasks, under specified conditions, to target levels of performance. The most essential of these capabilities are the core capabilities identified in the National Preparedness Goal. The components of the National Preparedness System provide a consistent and reliable approach to support decision making, resource allocation and measure progress toward these outcomes. While each of the components of the National Preparedness System is essential to achieve preparedness, it is critical that the components be understood and used in the context of each other. Ultimately, this integrated approach becomes a means to achieve the National Preparedness Goal in a consistent and measurable way.

The SHSP grant program supports activities that improve the ability of jurisdictions nationwide to:

- Prevent a threatened or an actual act of terrorism;
- Protect our citizens, residents, visitors and assets against the greatest threats and hazards;
- Mitigate the loss of life and property by lessening the impact of future catastrophic events;
- Respond quickly to save lives, meet basic human needs, and protect property and the environment in the aftermath of catastrophic incident; and/or
- Recover through a focus on the timely restoration, strengthening, accessibility and revitalization of infrastructure, housing and a sustainable economy, as well as health, social, cultural, historic and environmental fabric of communities affected by a catastrophic incident; and do so in a manner that engages the whole community while ensuring the protection of civil rights.

The purpose of this notice is to provide:

- Formal grant guidance and application materials needed to apply for funding under SHSP; and
- Administrative requirements that must be met by all sub-recipients in order to meet the requirements of federal regulations, mandates and orders.

Eligibility Criteria

State and local units of government are eligible to apply for SHSP funding. Other eligibility requirements include Emergency Management Assistance Compact membership and the implementation of the National Incident Management System. In addition, each eligible applicant must have an active:

- Data Universal Numbering System (DUNS) number;
- Unique Entity Identifier and System for Award Management (SAM);
- Vendor registration with the State of Indiana; and
- Bidder registration with the State of Indiana.

Emergency Management Assistance Compact Membership

In support of the National Preparedness Goal of a secure and resilient Nation, sub-recipients must belong to, be located in or act as a temporary member of Emergency Management Assistance Compact (EMAC). All assets supported in part or entirely with FFY 2019 SHSP funding must be readily deployable to support emergency or disaster operations per existing EMAC agreements. Funding may be used for the sustainment of core capabilities that may not be physically deployable, but nevertheless support national response capabilities.

National Incident Management System Implementation

Prior to allocation of any federal preparedness awards in FFY 2019, sub-recipients must ensure and maintain adoption and implementation of the National Incident Management System (NIMS). Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts such as typing, credentialing and inventorying promote a strong national mutual aid capability needed to support delivery of core capabilities. Additional information on resource management and NIMS resource typing definitions and job titles/position qualifications are available under <http://www.fema.gov/resource-management-mutual-aid>.

FEMA developed the NIMS Guideline for Credentialing of Personnel to describe national credentialing standards and to provide written guidance regarding the use of those standards. This guideline describes credentialing and typing processes, and identifies tools which Federal Emergency Response Officials (FEROs) and emergency managers at all levels of government may use both routinely and to facilitate multijurisdictional coordinated responses.

Although state, local, tribal and private sector partners, including non-governmental organizations, are not required to credential their personnel in accordance with these guidelines; IDHS/FEMA strongly encourages them to do so in order to leverage the Federal investment in the Federal Information Processing Standards (FIPS) 201 infrastructure and to facilitate interoperability for personnel deployed outside their home jurisdiction.

Additional information can be found at

http://www.fema.gov/pdf/emergency/nims/nims_alert_cred_guideline.pdf.

Law Enforcement Terrorism Prevention Activities (LETPA)

As required by the Homeland Security Act of 2002, as amended (6 U.S.C. § 607), Indiana is required to ensure that at least 25% of funding is dedicated to law enforcement terrorism prevention activities. As the SAA, Indiana is required to obligate at least 80% of funding to local units of government.

FUNDING GUIDELINES

Funding guidelines established within this section support the five mission areas (prevention, protection, mitigation, response and recovery) and associated 32 core capabilities. In general, applicants should consult with IDHS Grants Management prior to requesting any expenditure that does not clearly meet the allowable expense criteria established by this NOFO.

Sustaining and Building Core Capabilities

The SHSP grant program plays an important role in supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The SHSP grant program supports allowable costs associated with one or more of the select core capabilities in the prevention, protection, mitigation, response and recovery mission areas based on allowable costs.

Working together, subject-matter experts, government officials and elected leaders can develop strategies to allocate resources effectively and leverage available assistance to reduce risk. The strategies developed should consider both how to sustain current levels of capability and address gaps in order to achieve the NPG. Achieving the NPG will require participation and resource support from all levels of government. Not all capabilities can be addressed in a given funding cycle, nor can funding be expected to flow from any one source.

Local officials must prioritize the achievement of capabilities to most effectively ensure security and resilience while understanding the effects of not addressing identified gaps. Building and sustaining capabilities will include a combination of organizational resources, equipment, training and exercising. Consideration must also be given to finding, connecting to and strengthening community resources by leveraging the expertise and capacity of individuals, communities, private and nonprofit sectors, faith-based organizations and all levels of government.

Jurisdictions may also choose to use mutual aid agreements to fill gaps or work with partners to develop regional capabilities. Ultimately, a jurisdiction may need to rely on other levels of government to address a gap in a capability. This expectation should be communicated amongst parties well before the time arises when the capabilities are most urgently needed.

IDHS FUNDING PRIORITIES

IDHS expects SHSP applicants to prioritize funding requests to address capability targets and gaps identified through a needs assessment or gap analysis process. Please note, due to limited funding, it is likely that only projects addressing high priority core capability gaps will be considered for award. However, there is no guarantee that all high funding priorities will be funded. Applicants should prioritize the use of grant funds to maintain/sustain current capabilities, to validate capability levels and to increase capability for high priority core capabilities with low capability levels.

Please note: Applications that do not contain a direct correlation to terrorism preparedness will be deemed ineligible for funding, regardless of demonstrated need and prioritization.

IDHS relied on the following reports to prioritize core capabilities for FFY 2019 SHSP grant funding:

- 2018 State Preparedness Report; and
- 2018 Core Capability Assessments.

Based on a review of local capability assessments and the 2018 State Preparedness Report, the list below categorizes projects and its associated core capability based on priority level.

Note: There are some core capabilities that will not be able to be funded during the FFY 2019 SHSP grant cycle. See **Figure 1.1** for a visual table.

High Funding Priorities

- Planning (Prevention);
- Public Information and Warning (Prevention/Response/Recovery);
- Operational Coordination (Prevention);
- Screening, Search and Detection (Prevention/Protection);
- Forensics and Attribution (Prevention);
- Access Control and Identity Verification (Protection);
- Supply Chain Integrity and Security (Protection);
- Cybersecurity (Protection);
- Community Resilience (Mitigation);
- Risk and Disaster Resilience Assessment (Mitigation);
- Mass Care Services (Response);
- Logistics and Supply Chain Management (Response);
- Mass Search and Rescue Operations (Response);
- Critical Transportation (Response);
- Infrastructure Systems (Response/Recovery); and
- Operational Communication (Response).

Medium Funding Priorities

- Planning (Protection/Mitigation/Response/Recovery);
- Public Information and Warning (Protection/Mitigation);
- Operational Coordination (Protection/Mitigation);
- Interdiction and Disruption (Prevention/Protection);
- Intelligence and Information Sharing (Prevention/Protection);

- Physical Protective Measures (Protection);
- Long Term Vulnerability Reduction (Mitigation);
- Environmental Response, Health and Safety (Response);
- Fatality Management Services (Response);
- Public Health, Healthcare and Emergency Medical Services (Response);
- Risk Management for Protection Programs and Activities (Protection); and
- Economic Recovery (Recovery).

Low Funding Priorities

- Operational Coordination (Response/Recovery);
- Threats and Hazards Identification (Mitigation);
- On-Scene Security, Protection and Law Enforcement (Response); and
- Situational Assessment (Response).

Core Capabilities Not Considered for Funding During FFY 2019

- Health and Social Services (Recovery);
- Housing (Recovery);
- Natural and Cultural Resources (Recovery); and
- Fire Management and Suppression (Response).

To assist in prioritization efforts, IDHS aggregated the FFY 2019 SHSP funding priorities into **Figure 1.1** on the next page.

The core capabilities in green represent the high funding priorities, the core capabilities in yellow represent the medium funding priorities, the core capabilities in red represent the low funding priorities, and the core capabilities in grey represent the capabilities not being considered during the FFY 2019 SHSP grant cycle.

Prevention	Protection	Mitigation	Response	Recovery
Planning	Planning	Planning	Planning	Planning
Public Information and Warning	Public Information and Warning	Public Information and Warning	Public Information and Warning	Public Information and Warning
Operational Coordination	Operational Coordination	Operational Coordination	Operational Coordination	Operational Coordination
Screening, Search, and Detection	Interdiction and Disruption	Long-Term Vulnerability Reduction	On-Scene Security, Protection, and Law Enforcement	Infrastructure Systems
Forensics and Attribution	Risk Management for Protection Programs and Activities	Community Resilience	Mass Care Services	Economic Recovery
Interdiction and Disruption	Intelligence and Information Sharing	Risk and Disaster Resilience Assessment	Logistics and Supply Chain Management	Health and Social Services
Intelligence and Information Sharing	Physical Protective Measures	Threats and Hazards Identification	Mass Search and Rescue Operations	Housing
	Screening, Search, and Detection		Environmental Response, Health, and Safety	Natural and Cultural Resources
	Access Control and Identity Verification		Critical Transportation	
	Supply Chain Integrity and Security		Fatality Management	
	Cybersecurity		Situational Assessment	
			Infrastructure Systems	
			Operational Communication	
			Public Health, Healthcare, and Emergency Management Services	
			Fire Management and Suppression	

Figure 1.1 – FFY 2019 SHSP funding priorities

Planning

Planning spans all five National Preparedness Goal (NPG) mission areas and provides a baseline for determining potential threats and hazards, required capabilities, required resources and establishes a framework for roles and responsibilities. Planning provides a methodical way to engage the whole community in the development of a strategic, operational and/or community-based approach to preparedness.

SHSP funds may be used for a range of emergency preparedness and management planning activities and such as those associated with the development of the THIRA/HIRA, continuity of operations plans and other planning activities that support the NPG and placing an emphasis on updating and maintaining a current emergency operation plan (i.e. EOP) that conforms to the guidelines outlined in CPG 101 v 2.0.

Planning should include participation from all stakeholders in the community who are able to contribute critical perspectives and may have a role in executing the plan. Planning should be flexible enough to address incidents of varying types and magnitudes. Jurisdictions should focus planning efforts to enhance and expand capabilities through partnerships. All jurisdictions are encouraged to work through Citizen Corps councils, nongovernmental entities and the general public in planning activities.

Entities receiving SHSP funds to create a plan (EOP, annex, SOP, etc.) must validate the plan through no less than a tabletop level exercise. The exercise must be facilitated and documented using the HSEEP process. **The after action report and improvement plan must be submitted to the IDHS state exercise officer, as well as IDHS Grants Management, prior to the reimbursement of expenditures.**

Organization

SHSP funds may not be used to support the hiring of any personnel for the purpose of fulfilling traditional public health and safety duties or to supplant traditional public health and safety positions and responsibilities.

Equipment

The allowable equipment categories and equipment standards for SHSP are listed on the U.S. DHS Authorized Equipment List (AEL) at <http://www.fema.gov/authorized-equipment-list>. Unless otherwise stated, equipment must meet all mandatory regulatory and/or U.S. DHS/FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for, at their own expense, obtaining and maintaining all necessary certifications and licenses for the requested equipment. Installation and training on the equipment is allowable and should be included in the cost of the equipment.

The use of FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, upgrades and user fees are allowable under all active and future grant awards, unless otherwise noted. Federal guidance (FEMA Policy 205-402-125-1) also provides guidance on the support of equipment previously purchased with both federal grant and non-federal grant funding. While these activities may be submitted, they are not a priority for the state. General maintenance and repairs are not allowable.

General purpose vehicles are allowed to be procured in order to carry out the responsibilities of the SHSP Program. If applicants have questions concerning the eligibility of equipment not specifically addressed in the AEL, they should contact the IDHS Grants Management at grants@dhs.in.gov. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Large equipment purchases must be identified and explained. For more information regarding property management standards for equipment, please reference 2 C.F.R. Part 200, including 2 C.F.R. §§ 200.310, 200.313 and 200.316.

Controlled Equipment

Grant funds may be used for the purchase of controlled equipment; however, due to the nature of the equipment and the potential impact on the community there are additional and specific requirements in order to acquire this equipment. Refer to Information Bulletin (IB) 407 *Use of Grant Funds for Controlled Equipment* for the complete *Controlled Equipment List*. Applicants applying for equipment on the *Controlled Equipment List* will be required to submit FEMA Form (FF) 087-0-0-1 *Controlled Equipment Request Form* to IDHS if selected for funding.

Sub-recipients purchasing Controlled Equipment must:

- Have written policies and protocols that specifically govern the:
 - Appropriate use of controlled equipment;
 - Supervision of controlled equipment;
 - Effectiveness of controlled equipment;
 - Auditing and accountability;
 - Transparency and notice considerations;
 - *Community Policing* (for law enforcement agencies only);
 - *Constitutional Policing* (for law enforcement agencies only); and
 - *Community Input and Impact Considerations* (for law enforcement agencies only).
- Provide or obtain necessary training regarding appropriate use of controlled equipment prior to the use of controlled equipment, including:
 - Technical proficiency;
 - Scenario-based training;
 - Training on civil rights and liberties; and
 - *General Policy Standards* (for law enforcement agencies only).
- Retain comprehensive training records, either in the personnel file of the individual who was trained or by the recipient's training division or equivalent entity, for a period of at least three years after training date, and must provide a copy of these records, upon request, to IDHS/FEMA;
- Retain after action review (AAR) reports with the *required information* following any significant incident or event that requires, or results in, the use of any controlled equipment purchased with U.S. DHS/FEMA grant funds for a period of three years and must provide a copy of these records, upon request, to IDHS/FEMA. This information shall also be made available to the community served in accordance with applicable policies and protocols including considerations regarding the disclosure of sensitive information. *Required information* to be collected and retained for AAR:
 - Identification of controlled equipment used;
 - Description of the significant incident/event involving the controlled equipment;
 - Identification of personnel who used the equipment and, if possible, a list of those involved in the incident; and
 - Result of controlled equipment use.

Requirements for Small Unmanned Aircraft System

All requests to purchase Small Unmanned Aircraft System (SUAS) with FEMA grant funding must also include the policies and procedures in place to safeguard individuals' privacy, civil rights and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment, see Presidential Memorandum: Promoting Economic Competitiveness While

Safeguarding Privacy, Civil Rights and Civil Liberties, in Domestic Use of Unmanned Aircraft Systems, issued February 20, 2015. The anticipated approval time from the date of submission to FEMA, ensuring all documents are provided and complete, is one year. Documentation Requirements:

- FEMA Controlled Equipment Form, Form 087-0-0-1
- Standard operating Procedures
- Agency Policies and Procedures to safeguard individuals' privacy, civil rights and civil liberties of the jurisdiction that will purchase, take title to, or otherwise use the SUAS equipment

SAFECOM

Sub-recipients who receive awards that wholly or partially provide funding for emergency communication projects and related activities must comply with the most recent version of the SAFECOM Guidance on Emergency Communications Grants. This guidance provides recommendations to sub-recipients regarding interoperable emergency communications projects, including allowable costs, eligible activities, grants management best practices for emergency communications grants and information on technical standards that ensure greater interoperability.

The guidance is intended to ensure that federally-funded investments are compatible, interoperable, and support the national goals and objectives for improving emergency communications nationwide. Sub-recipients investing in broadband-related investments should review IB 386, Clarification on Use of U.S. DHS/FEMA Public Safety Grant Funds for broadband-related expenditures and investments, and consult their U.S. DHS/FEMA HQ program analyst on such investments before developing applications.

All equipment must, when practicable, be tagged with the following text: **"Purchased with funds provided by the U.S. Department of Homeland Security."**

Training

Allowable training related costs under SHSP include the establishment, support, conduct and attendance of training specifically identified under the SHSP programs and/or in conjunction with emergency preparedness training by other federal agencies. This includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials and equipment. Training should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any training or training gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the after action report and improvement plan and addressed in the training cycle.

Training conducted using SHSP funds should address a performance gap identified through the Indiana State Preparedness Report, Training and Exercise Plan (TEP), or other assessments and contribute to building a capability that will be evaluated through a formal exercise. Further guidance concerning the TEP and the training and exercise planning workshop can be found at <http://www.fema.gov/exercise>. Training should foster the development of a community oriented approach to emergency management that emphasizes engagement at the community level, strengthen best practices and provide a path toward building sustainable resilience.

SHSP funds used for training should support the nationwide implementation of NIMS. The NIMS training program establishes a national curriculum for NIMS and provides information on NIMS courses. Sub-recipients are encouraged to place emphasis on the core competencies as defined in the NIMS training program.

U.S. DHS/FEMA sponsored training programs or courses developed for and delivered by the Center for Domestic Preparedness (CDP), the Emergency Management Institute (EMI), and the National Training and Education Division's (NTED) training partner programs including, the Continuing Training Grants, the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC) that are within the scope of the SHSP are generally eligible.

Attendance at non-U.S. DHS/FEMA training is allowable as long as the training is approved by IDHS and falls within the FEMA mission scope, the jurisdiction's emergency operations plan, and the jurisdiction's TEP. The only exception to this policy is for Countering Violent Extremism courses. U.S. DHS/FEMA will conduct periodic reviews of all training funded by SHSP. These reviews may include requests for all course materials and physical observation of, or participation in, the funded training. If these reviews determine that courses are outside the scope of this guidance, sub-recipients will be asked to repay grant funds expended in support of those efforts.

Travel

Travel costs (i.e. airfare, mileage, per diem, and hotel) are allowable expenditures for employees who are on travel status for approved training(s).

Hiring of Full or Part-Time Contractors/Consultants

Full or part-time contractors/consultants may be hired to support direct training related activities.

Certification/Recertification of Instructors

Costs associated with the certification and recertification of instructors are allowed. Sub-recipients are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

Exercises

Exercises conducted with grant funding should be managed and conducted consistent with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP guidance for exercise design, development, conduct, evaluation and improvement planning is located at <https://www.fema.gov/exercise>.

SHSP scope of exercise scenarios should consider the jurisdiction's gap analysis, exercise or event after action reports and plans. Acceptable scenarios for SHSP exercises include: cyber, natural or technological disasters, mass care, health and social services, public information and warning and catastrophic disasters. Exercise scenarios used in SHSP funded exercises must focus on validating existing capabilities, be large enough in scope and size to exercise multiple activities and warrant involvement from multiple disciplines and non-governmental organizations.

County and/or city emergency management organizations are required to develop a TEP that identifies training and exercise priorities and activities. Sub-recipients are required to submit an after action report/improvement plan (AAR/IP) for each SHSP-funded exercise. AAR/IPs should be submitted to IDHS no more than 90 days after completion of the exercise. Sub-recipients are reminded of the importance of implementing corrective actions. **The after action report and improvement plan must be submitted to the IDHS state exercise officer, as well as IDHS Grants Management, prior to the reimbursement of expenditures.**

Allowable exercise-related costs include expenditures used to develop, deliver and evaluate an exercise. This includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and documentation. Sub-recipients are encouraged to use free public space/locations/facilities, whenever available, prior to the rental of space/locations/facilities. Exercises should provide the opportunity to demonstrate and validate skills learned, as well as to identify any gaps in these skills. Any exercise or exercise gaps, including those for children and individuals with disabilities or access and functional needs, should be identified in the AAR/IP and addressed in the exercise cycle.

Hiring of Full or Part-Time Contractors/Consultants

The services of contractors/consultants may be procured to support the design, development, conduct and evaluation of exercises.

Travel

Travel costs (i.e. airfare, mileage, per diem, hotel) are allowable expenditures for employees who are on travel status related to exercise activities.

Supplies

Supplies are items that are expended during the course of the planning and conduct of the exercise activities (i.e. gloves, non-sterile masks and disposable protective equipment).

Implementation of HSEEP

Expenditures related to developing and maintaining an exercise program, consistent with HSEEP, are allowable under the SHSP grant program.

Other Items

These costs are limited to items directly related to exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment and the procurement of other essential nondurable goods. Sub-recipients are encouraged to use free public space/locations, whenever available, prior to the rental of space/locations. Costs associated with inclusive practices and the provision of reasonable accommodations and modifications that facilitate full access for children and adults with disabilities are allowable.

UNALLOWABLE COSTS

The following section outlines unallowable costs under the SHSP program; **however, this is not a complete listing of unallowable expenditures.** Applicants should consult with IDHS Grants Management regarding any expenditure that does not clearly meet the allowable/unallowable expense criteria established by this notice of funding opportunity (NOFO).

Pre-Award Expenditures

An expenditure incurred prior to the notification of award is considered a pre-award cost. Pre-award expenditures are unallowable under this program.

Non-Emergency Management Agency Personnel

Expenditures to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities are unallowable under this program. Personnel expenditures located under the Organization in the POETE Overview will not be allowable.

Travel

International travel is not an allowable cost under this program.

Exercise Costs

Unauthorized costs include reimbursement for the maintenance and/or wear and tear costs of general use vehicles (i.e. construction vehicles) and emergency response apparatus (i.e. fire trucks, ambulances). The only vehicle costs that are reimbursable are fuel/gasoline or mileage. Unauthorized costs include equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (i.e. electronic messaging signs).

Additionally, unauthorized costs include durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.

Equipment

Per FEMA policy, the purchase of weapons and weapons accessories is not allowed with SHSP funds. Grant funds may not be used for the purchase of Prohibited Equipment. Refer to IB 407 Use of Grant Funds for Controlled Equipment located at: http://www.fema.gov/media-library-data/1455638798436-e15b85c92cb5b544d4c2bf6014ee7c11/IB407_Controlled_Equipment.pdf for a completed list of prohibited equipment.

Food Costs

Food costs are unallowable under the SHSP grant. Costs will be determined to be reasonable if the per person (documented participants) cost for food is equal to or less than the permitted per-diem for the meal provided, according to the U.S. General Services Administration thresholds.

Other unallowable costs include, but are not limited to, the following:

- General-purpose vehicles: patrol cars, executive transportation, fire apparatus, and non-CBRNE (chemical/biological/radiological/nuclear/explosive) tactical/armored assault vehicles;
- Overtime/back-fill;
- Mileage for government owned vehicle(s);
- Parking tickets or other traffic tickets;
- Supplanting of any expense currently budgeted;
- Entertainment expenditures;
- Laundry expenditures; and
- Late payment fees.

GRANT INFORMATION

The following information about the proposed project is required to complete a grant proposal.

Funding Profile

Applicants are required to provide information about previously funded SHSP projects, IDHS funding received and grant funding received from other entities.

Problem Statement

The problem statement is a one or two sentence description of the issue that needs to be addressed and identifies the crux of the applicant's proposal. A problem statement should document the severity of the problem by including baseline data (i.e. community demographics) that characterizes the target audience to be served by the project. Applicants also should provide a brief description of the problem or set of problems that can be addressed through the project's proposed strategies.

Needs Assessment

The needs assessment is an opportunity for an applicant to provide information about how the problem or issue was identified and the mechanism utilized to identify the issue (i.e. THIRA, etc.). Applicants should describe the tool utilized to conduct the gap analysis (i.e. HIRA) and a synopsis of the critical findings of the analysis. The needs assessment section is the opportunity for applicants to describe the gap analysis conducted to justify the funds requested for the proposed project. Applicants should describe existing local core capability gaps and how the proposed project will close those gaps. The project summary should identify specifically which core capability the proposed project is targeting and how the gap analysis tool rated the core capability gap for the applicant (i.e. high priority, medium priority or low priority).

In the event a gap analysis was not utilized as the primary means in selecting a core capability gap, applicants must clearly explain the rationale for selecting the core capability gap identified and provide supporting documentation to justify the selection. For example, an after action report may indicate the need for certain equipment to respond appropriately to a particular situation despite an assessment tool ranking the core capability gap as a low priority. In this case, an applicant may apply for equipment funding if the need is narrated clearly within the grant proposal. **The after action report must be attached to the grant application.**

Applicants with questions on how to draft a clear needs assessment narrative are encouraged to contact IDHS Grants Management for technical assistance.

Mission Area

The SHSP program supports the National Preparedness Goal of a "secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to and recover from the threats and hazards that pose the greatest risk." Therefore, applicants must choose the appropriate mission area the proposed project supports in fulfilling the National Preparedness Goal.

Core Capability

Applicants must choose one core capability gap the proposed project is targeting. Applicants are encouraged to consult the FEMA Core Capability Development Sheets when developing project activities that correspond to the selected core capability gap. The FEMA Core Capability Development Sheets can be located online at <https://www.fema.gov/core-capability-development-sheets>.

Planning, Organization, Equipment, Training or Exercise

The core capability gap identified will need to be characterized through the POETE (planning, organization, equipment, training, or exercise).

Project Summary

Applicants must provide a detailed project description in the project summary section. Applicants should include a narrative regarding how the proposed project will address/alleviate the issue identified in the problem statement. A strong project summary will include a clear and full description of the proposed project, strategies taken to identify the issue, a list of involved stakeholders, and an indication of how long it will take to see results from the proposed project. Applicants must describe the intention to close the identified core capability gap and identify the mechanism in which the project's activities will enhance capacity.

Terrorism Nexus

Activities implemented under SHSP **must support terrorism preparedness** by building or enhancing capabilities that relate to the prevention of, protection from, mitigation of, response to and recovery from terrorism. Therefore, applicants must provide a narrative outlining how the proposed project activities directly relate to a terrorism nexus. Applicants should describe the project's ability to prevent, protect or reduce the community impact from terrorism.

Project Scope

Applicants will be asked to identify the scope of the project by selecting one or more of the following activities:

- Planning expenditures
- Training expenditures
- Exercise expenditures
- Equipment expenditures
- Travel expenditures

Applicants will be asked to provide additional information about the project activities selected in the project scope section.

Project Goal, Objectives, and Outcomes

Applicants must describe the goal of the proposed project and how the expenditures support the selected core capability. The proposed project's goal must be followed with objectives and outcomes that will identify how the gaps/shortfall will be lessened with the completion of the

project. The objectives must be specific, measurable, attainable, relevant and time-bound. The outcomes are the desired changes or results the proposed project will eventually accomplish. Project outcomes are the desired end-state which the applicant strives to achieve and can include visionary language.

Project Milestones

Applicants must describe the proposed project's milestones. Milestones are a critical point of achievement for applicants to demonstrate progress towards an objective or goal. In effect, these are mini-performance targets marking specific incremental progress that build up to achieving the overarching goal of the proposed project.

Funding Sustainability

Funding from grant sources should be viewed as “seed funds” used to start a project or as “supplementary funds” used to support a project with an existing budget, therefore an applicant must identify a strategy of obtaining permanent financial support. Applicants should provide an estimated funding plan (i.e. a self-imposed step down plan) for the next three years, showing the anticipated levels of SHSP funding. Applicants should describe the amount of funding and include three (3) potential funding source(s). Applicants should give consideration regarding future maintenance costs, material costs, etc. and explain how those costs will be paid. Applicants should also give consideration to the future of the project if SHSP funds are eliminated.

Challenges

Applicants must describe any non-financial challenges that may impact the ability to successfully complete the proposed project. If challenges do not exist, an applicant must indicate this.

AWARD DETERMINATIONS

Financial Risk Assessment

The Uniform Guidance 2 CFR Part 200 Uniform Administrative Guidance, Cost Principles, and Audit Requirements for Federal Awards requires both federal and pass-through entities, such as IDHS, to review the merit and risk associated with a potential sub-recipient prior to making the award. In evaluating the risks posed by sub-grant applicants, the awarding agency may use a risk-based approach and consider any items such as: financial stability, quality of grant management systems, history of performance, quarterly progress reports and audit findings.

Scoring

IDHS utilizes a four tiered review process when generating funding strategies.

Tier One

IDHS will conduct an initial screening of the applications to check for completeness of the application. Identifying information within the grant applications will be removed by IntelliGrants to reduce the likelihood of reviewer bias. Incomplete applications will be removed from the review process and will not receive funding.

Tier Two

Applications will be reviewed by a grant application review committee. Grant applications will be scored in accordance with federal and state requirements and funding priorities. The committee will generate funding recommendations to be provided to the reviewing council.

Tier Three

The Senior Advisory Council (SAC) is a group of subject matter experts throughout the community who will review the funding recommendations and provide additional review of the applications to determine effective funding priorities. The SAC will generate a final funding recommendation and present it for final review to the IDHS executive director.

Tier Four

The IDHS executive director has the ultimate discretion regarding whether to award funding or not. Applicants will receive an electronic notification with the final award determination.

There is no guarantee of funding for any applicant.

AWARD NOTIFICATION

IDHS Grants Management will contact SHSP sub-recipients via email when funding determinations have been finalized. If awarded funding, SHSP sub-recipients will receive an award letter that will include the following information:

- Sub-recipient name;
- Sub-recipient award amount;
- Sub-recipient performance period;
- Federal award identification number (FAIN);
- Total amount of the federal award;
- Federal awarding agency;
- Federal award date; and
- CFDA Number.

The award letter will provide any special conditions that must be met or resolved prior to reimbursement.

Sub-recipients may be asked to adjust their budgets as a special condition of the award. Budget modifications must be submitted through IntelliGrants and approved before a grant agreement can be sent for signature through the e-contracting process.

Sub-recipients must confirm acceptance of the SHSP award and can find directions to do so within the award letter.

NOTE: IDHS must run clearance checks with the Department of Workforce Development, Department of Revenue, Indiana Secretary of State, and federal System for Award Management. If an applicant is not in good standing or has an outstanding issue with the State of Indiana, then the applicant cannot receive an award or go through the contracting process until these issues are addressed and made current. In the event IDHS finds that an entity does not pass a clearance check, IDHS will notify the entity and ask that the entity work with these agencies to correct the issue. IDHS cannot correct issues of this type for an agency.

SUB-RECIPIENT GRANT AGREEMENT REQUIREMENTS

In order to receive funding, all SHSP sub-recipients must agree to the following:

- Enter into a sub-grant agreement with IDHS;
- Agree to abide by all provisions of the sub-grant agreement;
- Abide by all the federal terms and conditions in the sub-grant agreement;
- Sign the sub-grant agreement electronically using the state's supplier contracts module;
- Include the authorized signatory information in the submitted application;
- Submit all reports in the prescribed format and time frames as determined by IDHS;
- Comply with federal cost principals contained in the 2 CFR 200 located at the following: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl; and
- Provide the DUNS number, award amount and date, project description and location of the funded work, on the form provided in the grant award packet from IDHS.

REPORTING

Quarterly Progress Reports

Reports for this program are due quarterly on the following dates:

Reporting Period	Report Due Date
October 1 – December 31	January 15
January 1 – March 31	April 15
April 1- June 30	July 15
July 1 – September 30	October 15

Program reports serve an important function within the overarching grant cycle. Program reports can serve as a means of communication between sub-recipients and IDHS Grants Management. For example, the sub-recipients are asked to indicate if barriers exist to achieving project success. IDHS Grants Management asks this question to determine if technical assistance is needed to assist sub-recipients. Moreover, program reports are aggregated into the quarterly and annual SHSP reports IDHS is required to submit to FEMA. The information entered into the program reports is critical to ensuring the SHSP fund is supported in future congressional sessions.

Program reports are a requirement of the SHSP program and should be submitted in a timely fashion. Incomplete, incorrect or late reports could impact an applicant's ability to receive future grant funding with IDHS.

Closeout Reporting Requirements

IDHS Grants Management will close out the grant sub-award when all applicable administrative actions and all required work of the award have been completed by the sub-recipient. This section summarizes the actions that the sub-recipient must take to complete the closeout process in accordance with 2 C.F.R. § 200.343 and IDHS policy and procedure.

Within 45 days of the end of the period of performance, sub-recipients must submit a final program report detailing accomplishments throughout the period of performance and a qualitative summary outlining the impact of all the accomplishments grant funds supported. If the final program report omits activities, the report will be returned and additional information will need to be included in order to satisfy this requirement. Funding obligations must be made prior to the end date of the sub-grant agreement. All outstanding expenses must be paid and final requests for expenditures must be submitted within 45 days from the end date of the sub-grant.

Additionally, the sub-recipient must liquidate all obligations incurred under this award no later than 45 calendar days after the end date of the performance period of the performance. If a sub-recipient fails to liquidate their obligations within this time period, IDHS may disallow the costs associated with those unliquidated obligations. The sub-recipient must have updated the IntelliGrants Inventory module to include any equipment purchased with grant funds.

After final reports have been reviewed and approved by IDHS Grants Management, a closeout notice will be completed to close out the grant. The closeout notice will indicate the period of

performance as closed, list of de-obligated funds, address requirements for record retention and disposition and list equipment reporting requirements.

Other Reports

IDHS Grants Management may ask for additional reports throughout the SHSP performance period. These report could include but are not limited to:

- Exercise reports;
- Training reports;
- Financial data/reports;
- THIRA/HIRA or gap analysis; and
- Equipment inventory reports.

ADDITIONAL INFORMATION

Dates to Know: FFY 2019 SHSP

2019

- September 1 – FFY 2019 SHSP performance period begins

2020

- January 15 – Grant progress reports due
- April 15 – Grant progress reports due
- July 15 – Grant progress reports due
- September 30 – Grant funded asset inventory due
- October 15 – SHSP final requests for expenditures due
- October 15 – Final Progress Report due

Performance Period

The FFY 2019 SHSP performance period is September 1, 2019, to August 31, 2020. Sub-recipients should begin their projects on September 1, 2019. Projects must be operational no later than November 1, 2019 (i.e. 60 days after the performance period has begun).

Sub-recipients that are unable to initiate projects by November 1, 2019, (i.e. 60 days after the performance period has begun) are required to submit a letter to IDHS Grants Management through the SHSP program manager or IDHS Grants mailbox. The letter must include the following:

1. Description of the project delay;
2. Actions taken to mitigate the project delay; and
3. Activities planned to initiate the project within 30 days.

Failure to have the funded project operational within 90 days from September 1, 2019, will result in the cancellation of the sub-grant and the de-obligation of all awarded funds back to IDHS.

The end of the performance period for 2019 SHSP is August 31, 2020. The following activities must be completed by August 31, 2020:

1. Project activities listed in the applicant's grant application;
2. Funding obligations.

Within 45 days of August 31, 2020, (i.e. end of the performance period) the following must be completed:

1. All outstanding expenses must be paid;
2. Final request for expenditure must be submitted within IntelliGrants.

Monitoring

IDHS Grants Management must monitor sub-recipients as a requirement of the federal award to assure compliance with applicable federal and state requirements and performance expectations are being achieved. Sub-recipients will be monitored by a member of the IDHS Grants Management compliance team using a combination of desk reviews and site visits. IDHS Grants Management compliance team generate the initial risk determination by completing the

IDHS Grants Management risk assessment form for each applying entity. Risk determinations, post-award, will be completed as necessary by the IDHS Grants Management compliance team.

Federal Funding Accountability and Transparency Act

The Federal Funding Accountability and Transparency Act (FFATA) requires that certain information be collected as it relates to awards given to sub-recipients beginning October 1, 2015 in amounts greater than or equal to \$30,000.00.

IDHS Grants Management will collect the following information from IntelliGrants and other sources as needed:

- Data Universal Numbering System;
- Mailing address to include street address, city, state, zip code + 4, county and country;
- Award amount (i.e. total amount of the award for the specific grant being reported);
- Grant agreement execution date (i.e. the date the sub-grant agreement is fully executed by the state);
- Project description (i.e. a brief description of the project); and
- The unique number assigned to each sub-grant agreement created for IDHS.

FFATA requires the following questions to be answered:

- In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) receive:
 - 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, sub-grants and/or cooperative agreements; and
 - \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, sub-grants and/or cooperative agreements?
- Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m (a), 78o (d)) or section 6104 of the Internal Revenue Code of 1986?
- If the answer is 'No', then provide the name and total compensation for the five (5) most highly compensated executives in your business or organization (the legal entity to which this DUNS number is assigned).

FFATA requires that all reports be submitted into the Federal Funding Accountability Transparency Act Sub-award Reporting System (FSRS) by the end of the month, following the month in which the sub-grant agreement is executed.

This information will be posted to a dedicated website (i.e. <http://www.USASpending.gov>).

Supplanting

Federal funds must be used to supplement existing funds for project activities. Federal funds cannot replace (i.e. supplant) non-federal funds that have been appropriated for the same purpose.

If supplanting by a sub-grantee is determined, sub-recipients will be required to repay grant funds expended in support of those efforts.

Funding Restrictions

Federal funds made available through this sub-award may only be used for the purpose set forth in this award and must be consistent with the statutory authority for the award. Sub-award funds may not be used for matching funds for any other federal award, lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity.

Environmental Planning and Historic Preservation Compliance

As a federal agency, U.S. DHS/FEMA is required to consider the effects of its actions on the environment and/or historic properties to ensure that all activities and programs funded by the agency, including grants-funded projects, comply with Federal Environmental Planning and Historic Preservation (EHP) regulations, laws and Executive Orders as applicable. Any activity that has the potential to impact the environment must participate in the U.S. DHS/FEMA EHP review process, including:

1. Construction of communication towers;
2. Modification or renovation of existing buildings, structures and facilities; or
3. New construction including replacement of facilities.

The EHP review process involves the submission of a detailed project description that explains the goals and objectives of the proposed project along with supporting documentation so that U.S. DHS/FEMA may determine whether the proposed project has the potential to impact environmental resources and/or historic properties. In some cases, U.S. DHS/FEMA is also required to consult with other regulatory agencies and the public in order to complete the review process. The EHP review process must be completed before funds are released to carry out the proposed project. U.S. DHS/FEMA will not fund projects that are initiated without the required EHP review.

Compliance with U.S. DHS/FEMA EHP Policy Guidance is required. This EHP Policy Guidance can be found in FP 108-023-1, Environmental Planning and Historic Preservation Policy Guidance, and FP 108.24.4, Environmental Planning and Historical Preservation Policy.

Continuity of Operations

FEMA is designated as the lead agency for managing the nation's continuity program. To support this role, FEMA provides direction and guidance to assist in developing capabilities for

continuing the federal and state, territorial, tribal and local (STTL) government jurisdictions and private sector organizations' essential functions across a broad spectrum of emergencies.

National Security Presidential Directive 51, National Security Presidential Directive 20, the National Continuity Policy Implementation Plan (NCPIP), the Federal Continuity Directive 1 (FCD 1), and Continuity Guidance Circular 1 (CGC 1), and CGC 2 outline the following overarching continuity requirements for agencies and organizations and provide guidance, methodology, and checklists. For additional information on continuity programs, guidance, and directives, visit <http://www.fema.gov/guidance-directives> and <http://www.fema.gov/continuity-operations>.

Travel

Domestic travel costs are allowed under this program, as provided for in this NOFO.

Defining Sustainment

Sustainment has been a term used in recent grant cycles to mean costs of maintenance, repair and user fees for equipment or specific items. For the FFY 2019 SHSP grant cycle, sustainment refers to sustaining capabilities. Sustaining a capability entails costs associated with keeping a capability at the level it was designed to function. The “sustainment” focus of the FFY 2019 is a continuation in the preparedness cycle as outlined in PPD-8 and a mechanism to ensure that capabilities that have been built over the last decade remain viable to address the hazards and risks faced by Indiana and the nation.

Issues regarding maintenance, sustainment and routine upkeep created some confusion for sub-recipients in previous cycles of funding. Clarification is provided below for a few common issues:

1. Training and exercise of existing capabilities is considered sustainment and is highly encouraged for consideration by locals when developing applications.
2. Sustainment is not routine upkeep of equipment. Routine upkeep is not an allowable cost. For example, if a vehicle was procured with SHSP funding it is the responsibility of the agency that received the equipment to provide for oil changes and other required service of the vehicle. The repair of blades, hammers, chainsaws or other equipment damaged in training or exercise events is also considered routine upkeep. These costs are not allowable under the SHSP grant program.
3. FFY 2019 SHSP will not support district equipment sustainment projects.

2 C.F.R. PART 200

Compliance with all the requirements in 2 CFR. Part 200 (Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards) is obligatory under this program.

Supporting Documentation Requirements

Per the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards through the Office of Management and Budget Guidance Code of Federal Regulations (2CFR Part 200), applicants are required to submit documentation showing that expenses:

1. Occurred;
2. Are allowable; and
3. Are reasonable.

Salary Expenditure Documentation

The 2 CFR 200.430(i) Standards of Documentation states that charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable and properly allocated. Subsequently, applicants are required to provide documentation demonstrating the payment of salary expenditures for the entire period of reimbursement. Examples of acceptable forms of documentation to support salary expenditures include pay stubs, timesheets and job descriptions.

Applicants are required to upload the pay stubs for every employee the requested reimbursement will support for the entire period of reimbursement. The pay stub must show:

- Name of the employee;
- Gross wages earned;
- Total hours worked during the period;
- Hourly rate of pay;
- Pay period begin and end dates;
- Pay date; and
- All deductions for taxes/benefits/etc.

Applicants are required to upload the timesheets for every employee the requested reimbursement will support for the entire period of reimbursement. The timesheet format can vary, but must include the following:

- Daily work activity (i.e. 8 hours or 9:00am-5:00pm);
- Signed by the employee; and
- Signed by the approving official who has firsthand knowledge of the work performed.

Applicants utilizing an electronic timekeeping system must require the employee and approving official (i.e. supervisor who has firsthand knowledge of the work performed) to prove their identification typically achieved through user ID/password mechanisms. Applicants utilizing an electronic timekeeping system are required to submit a copy of the instructions from the

timekeeping system manual that outline the requirements for an individual identification method. Applicants should upload the electronic timekeeping system manual instructions only once within IntelliGrants.

At the time of application, applicants are required to upload the job descriptions for every employee/contractor the requested reimbursement will support. The job descriptions must be uploaded within the attachment section of IntelliGrants. The job description format can vary, but must be on official letterhead and include the following:

- Position title;
- Purpose of the position;
- Essential duties/responsibilities; and
- Job requirements.

According to 2 CFR 200.431 fringe benefits include, but are not limited to, the costs of leave (vacation, family-related, sick or military), employee insurance, pensions and unemployment benefit plans. Applicants are required to provide documentation demonstrating the payment of fringe benefit expenditures. Examples of acceptable forms of documentation to support fringe benefit expenditures include a county auditor's year-end report that illustrates the total cost of fringe benefits. Please note that no portion of the report can be handwritten. A county auditor's year-end report format can vary but must be on official letterhead and include the following:

1. Name of employee;
2. Total cost of expenditures; and
3. Signature of county auditor.

Before reimbursement will be authorized for salary expenditures, sub-recipients are required to upload supporting documentation via IntelliGrants. The following types of supporting documentation must be submitted for salary expenditures:

- Paystubs;
- Timesheets;
- Timekeeping system manual (if applicable); and
- County auditor year-end report.

Before reimbursement will be authorized, supporting documentation for all expenditures must be submitted via IntelliGrants.

IDHS CONTACT INFORMATION

If applicants have any questions about the information contained within the NOFO or need technical assistance in completing a grant application, please contact IDHS Grants Management at grants@dhs.in.gov.

APPENDIX A: REQUIRED REGISTRATIONS

Data Universal Numbering System Number

All applicants must have (or obtain) a Data Universal Numbering System (DUNS) numbers. A DUNS number is a unique, nine-character, number regulated by Dun and Bradstreet used to identify an organization. The federal government uses the DUNS number to track how federal money is allocated. The DUNS number is a required field in the SHSP application for funding.

Most large organizations already have a DUNS number. Applicants should contact their grant administrator, financial department, chief financial officer or authorizing official to identify their organization's DUNS number.

Applicants can receive a DUNS number, at no cost, by calling the DUNS number request line at (866) 705-5711 or can visit the DUNS website at the following site:

<http://fedgov.dnb.com/webform/displayHomePage.do>.

The information listed below is needed to obtain a DUNS number:

- Name of organization;
- Organization address;
- Name of the chief executive officer (CEO) or organization owner;
- Legal structure of the organization (i.e. corporation, partnership, proprietorship);
- Year the organization started;
- Primary type of business; and
- Total number of employees (full and part-time).

If applicants believe they possess an active DUNS number, they should call the request line to verify their DUNS number.

System for Award Management (SAM)

SAM is a web-based, government-wide application that collects, validates, stores and disseminates business information about the federal government's trading partners in support of the contract awards, grants and electronic payment processes. Entities are responsible for ensuring that their information is current and correct in SAM in accordance with paragraph (b) of Federal Acquisition Regulation (FAR) clause 52.232-33 or Title 2 of the Code of Federal Regulations Part 25 (2 CFR § 25.310 and Appendix A), as applicable, and should routinely review such information for accuracy.

In SAM, an individual, company, business or organization is referred to as an "entity." Individuals register themselves or their entity to do business with the U.S. Federal Government by completing the registration process in SAM.

Once a DUNS number has been obtained, **an applicant must register the number in SAM.**

Applicants should contact their grant administrator, financial department, chief financial officer or authorizing official to identify whether their organization has already registered with SAM. If the organization is already registered, take note of who is listed as the E-Business Point of Contact (EBiz POC). It is the EBiz POC within an organization who must register an organization with SAM.

To register with SAM, go to the [SAM website](#) with the following information:

- [DUNS number](#);
- [Taxpayer Identification Number \(TIN\) or Employment Identification Number \(EIN\)](#);
- Identification of an E-Business Point of Contact (EBiz POC) for the organization; and
- [Notarized letter](#) that identifies an authorized Entity Administrator.

The EBiz POC must renew an organization's SAM registration annually.

When registering a new entity or renewing/updating an existing entity in SAM, a [notarized letter](#) that identifies an authorized entity administrator must be submitted. An authorized entity administrator is an authorized officer, agent or representative who is responsible for the following activities in SAM:

- Manage the entity's registration record;
- Identify associated users (if applicable); and
- Select the appropriate user roles.

SAM will not activate or renew an entity's registration without this notarized letter. A template of the letter can be found in Appendix D.

Generally, after completing the online registration and sending the notarized letter confirming the entity administrator, it takes [up to two weeks to register with SAM](#), then one business day for updates made in SAM to be reflected. However, an organization must first have an EIN. If an organization does not have an EIN, it may take an additional [five weeks to request and obtain an EIN from the IRS](#).

Please note that SAM will not support Internet Explorer versions older than IE11. SAM can be accessed through Internet Explorer version of IE11 or higher, or with another supported browser type such as Chrome, Firefox or Safari. Another option to find the SAM website is to place "System for Awards Management" into any search engine and the SAM web address will be generated. Please contact IDHS Grants Management if assistance is needed during the SAM registration process or while obtaining a DUNS number.

Vendor registration with the State of Indiana

Applicants must be an active vendor in good standing with the State of Indiana. To register as a vendor with the state, please visit the State of Indiana Auditor's website at:

<http://www.in.gov/auditor/2340.htm> and complete the **W-9 Form** and **Automated Direct Deposit Authorization Agreement SF# 47551**. Applicants must use the IRS legal name of the entity on these forms. Please send the completed forms to the IDHS Grants Section inbox at grants@dhs.in.gov.

To assist in this process title the subject line as "**Vendor Number Application for [insert your applicant name here]**." The forms will then be given to a project manager to ensure a timely registration. Please plan accordingly and allow for a minimum of ten (10) days for this registration process to be completed once forms have been submitted. IDHS must relay this information to the Auditor's office for processing and does not have control over the speed at which the vendor form is processed. High volume requests to the Auditor's office will sometimes delay this process more than two weeks. Once the completed forms have been processed and

a vendor number has been generated, IDHS Grants Staff will contact the applicant with the applicant's vendor number. Applicants who are unsure if a vendor number has already been registered for their agency should contact IDHS Grants Staff at grants@dhs.in.gov for verification. **A vendor can only have one vendor number because the vendor number is linked to a vendor's federal tax ID (FEIN).** In order to verify the vendor information on file with the State, IDHS will need to have the correct FEIN.

Bidder registration with the State of Indiana

The State of Indiana requires all entities who receive funds from the state to be registered as a bidder. **An applicant can begin the bidder registration process while the vendor form paperwork is processed.** There is no cost to become a registered bidder and the process takes approximately 20 minutes to complete.

To become a registered bidder, applicants must go to this link: <http://www.in.gov/idoa/2464.htm>. After clicking on the link, click on the "Create New Bidder Profile" tab to start the registration process.

The State of Indiana will run a nightly batch process that will link your vendor number to your bidder registration number, but this process will not be run if your bidder registration is not fully completed. You will not be able to receive any funding if these two numbers are not synced.

If these processes have already been completed, the requirement has been met. Applicants should not duplicate the processes. Please keep in mind that until these processes are complete, a grant application will not be accepted.

APPENDIX B – APPLICATION INFORMATION

The online FFY 2019 SHSP Grant program application is available through IDHS's grants management system, [IntelliGrants](#) (click on link). All required forms have been incorporated into the online State Homeland Security Grant (SHSP) application.

Applicants can save, retrieve, update and revise their work through the end of the application period prior to submission. Applicants should save their work often as the electronic application includes a time-out feature. If no "save" activity is detected for a period of time, the application will time-out and all information that is not saved could be lost. Therefore, it is recommended that applicants type information offline using a word processing program then cut-and-paste the text into the appropriate sections within the application to avoid losing any information.

The automated system does not allow an applicant to submit an incomplete application and alerts the applicant when required information has not been entered.

Please note: To ensure that the appropriate pages populate in the IntelliGrants system and the information has been saved, click on the "Save" or the "Save/Next" button periodically.

Grant Application Mechanism and Methodology

Grant applications and budgets are to be completed via the IntelliGrants system.

Once the applicant has all the required information listed within this NOFO and is logged into IntelliGrants, applicants should click on the following boxes or select from the drop-down menu to begin their application:

1. Click "View Opportunities" under the header "View Available Proposals";
2. Select "Indiana Department of Homeland Security";
3. Click "Filter";
4. Click "Apply Now" for IDHS State Homeland Security Grant (SHSP) Application 2019; and then
5. Click "I Agree" once you are ready to apply for the Indiana Department of Homeland Security's 2019 State Homeland Security Grant (SHSP) Application.

Grant Application Framework

Application Section

1. Contact Information
 - a. Organization (This is auto-populated information taken from the System Administrator Form.)
 - i. Select your organization's county from drop-down box.
 - ii. Enter your organization's "true" Bidder ID (Contact IDHS Grants if needing help. The full and exact Bidder ID should be entered. Do not enter all zeros or numbers other than your organization's registered bidder number. If you need assistance with your bidder number, please email grants@dhs.in.gov.)
 - b. Project Location
 - i. Select your organization's county from drop-down box.
 - ii. If address is same as Organization subsection above, check the box "Same as above."

- iii. If address is not the same as Organization box above, fill in appropriate address boxes including city, state and zip.
 - iv. Complete the phone number, fax number (if applicable) and email boxes.
- c. Project Director: The main point of contact who will be initiating and submitting the grant application
 - i. Select Project Director's name from the drop-down box.
 - ii. If address is same as Organization subsection above, check the box "Same as above".
 - iii. If address is not the same as Organization box above, fill in appropriate address boxes including city, state and zip.
 - iv. Complete the phone number, fax number (if applicable) and email boxes even if it is the same as the subsection above.
- d. Fiscal Agent: The main point of contact for financial information for the organization
 - i. Type in name and title of fiscal agent.
 - ii. Fill in name of organization if different than the applying organization.
 - iii. If address is same as Organization subsection above, check the box "Same as above."
 - iv. If address is not the same as Organization box above, fill in appropriate address boxes including city, state and zip.
 - v. Complete the phone number, fax number (if applicable) and email boxes even if it is the same as the subsection(s) above.
- e. Alternative Contact: A second point of contact for the grant to serve as an alternative for the project director
 - i. Type in name of alternative contact.
 - ii. If address is same as Organization subsection above, check the box "Same as above."
 - iii. If address is not the same as Organization box above, fill in appropriate address boxes including city, state and zip.
 - iv. Complete the phone number, fax number (if applicable) and email boxes.
- f. Signatory: The person who is able to sign the grant agreement on behalf of your organization. If awarded, the signatory will receive an email to the email provided requesting her or him to log into the State Contract Management (SCM) portal and sign the award agreement.)
 - i. Type in name of signatory if different than the project director.
 - ii. If signatory is different than the project director, fill in appropriate address boxes including city, state and zip.
 - iii. If the signatory is the same as the project director, check the box "Same as Project Director."
 - iv. Complete the phone number, fax number (if applicable), and email boxes even if it is the same as one or more of the subsection(s) above.
- g. SAM Expiration Date: Please reference the SAM information in the SHSP NOFO
- h. Fiscal Information: This section asks for the organizations' audit report conducted by the Indiana State Board of Accounts. The following questions will be asked:
 - i. Audit Report
 - 1. To find the audit report, please click the link <https://secure.in.gov/apps/sboa/audit-reports/#/> which is a searchable database.
 - 2. To narrow your search you may select options within the search fields of the database, some examples of the search fields include; year, county and unit type.

3. When the search populates, choose the **federal single audit**. If the federal single audit cannot be found for the most recent year, please choose from the search fields the prior year to find the federal single audit.
 4. Once the audit has been located, download the PDF from the database in order to upload into the IntelliGrants system.
 - ii. Date of most recent audit: The report date will be located either in the search or on the cover sheet of the audit report.
 - iii. Any adverse audit findings is a “yes” or “no” question.
 1. If yes is selected, please describe the adverse audit findings found in the report.
 2. Corrective Action – If there was a corrective action plan to the adverse findings, please upload the corrective action plan.
 - i. Internal Controls
 - i. This is a narrative box for the organization to describe the internal controls are policies, processes and systems implemented to provide assurances that your organization can comply with all rules, regulations and laws governing this grant. Examples include: how does your organization account for grant funds, track programmatic achievements, maintain adequate records or exercise control over the grant?
 - j. IDHS funding
 - i. This is a “yes” or “no” radio button for applicants who have received funding from IDHS in the last 24 months.
 1. When selecting “yes”, additional questions will auto-populate in the next section for you to answer.
 - k. Disclosure of other funding related to Public Safety
 - i. This is a “yes” or “no” radio button for applicants who receive grant funding for public safety from other funding sources.
 1. When selecting “yes”, additional questions will auto-populate in the next section for you to answer.
2. Project Title & Funding Profile
- a. Project Title
 - i. Type in your organization’s project title (This will become the application(s) unique identifier)
 - b. Project Summary: This is blank field for applicants to provide a detailed description of the project.
 - i. A strong project summary will include a clear and full description of the proposed project, solutions or remedies to the problem or issues identified, and a listing of any partners involved in the project.
 - c. New or Continuation project: This is a drop-down box for the applicant to select one of the following choices based on the option that best describes their project:
 - i. New project
 1. Select this option, if the project has not been previously funded through the Foundation program
 - a. Applicants who have received funding for one type of activity (i.e. equipment) and are currently seeking support for another activity should select the “New project” option.
 - ii. Continuation project
 1. Select this option, if the project has been previously funded through the SHSP program

- a. Applicants are required to provide information about previously funded SHSP projects, IDHS funding received and grant funding received from other entities within the past 24 months
 - d. Previous IDHS Funding: If “yes” was selected on the previous page, this table is auto-populated. Applicants should enter the year of the award, select the grant name, enter the amount of the funding received, and the purpose/project scope of the award within the past 24 months.
 - i. For example: Entity “X” received \$4,000 to purchase equipment in FFY 2018 from the EMPG Grant.
 - e. Disclosure of Grant Funding: If “yes” was selected on the previous page, this table is auto-populated. Applicants should enter the year of the award, select the grant name, enter the amount of the funding received, and the purpose/project scope of the award within the past 24 months
 - i. For example: Entity “X” received \$20,000 from the Indiana Criminal Justice Institute to purchase equipment in FFY 2018.
- 3. Problem Statement & Analysis
 - a. Problem Statement & Analysis: The problem statement, will establish the issues and information that will be discussed, and what the rest of the proposal will revolve around. A problem statement should document the severity of the problem by including baseline data (i.e. community demographics) that characterizes the target audience to be served by the project. Applicants also should provide a brief description of the problem or set of problems that can be addressed through the project’s proposed strategies.
 - b. Identify which planning/assessment tool was utilized to identify the problem. Please choose from the following options from the dropdown list.
 - i. Hazard Mitigation Plan
 - ii. THIRA
 - iii. Threat Assessment
 - iv. After Action Report
 - v. Other, if “other” is selected, please specify the planning/assessment tool used.
 - c. Project Description
 - i. This is a blank field for the applicant to provide a detailed description of the full project to be implemented.
 - d. Funding Sustainability
 - i. This is a blank field his is a blank field for applicants to identify a strategy of obtaining permanent financial support. Please refer to the “Grant Information” in the SHSP NOFO.
 - e. Challenges: this is a blank field for applicants to describe any non-financial challenges that may influence the ability to successfully complete the proposed project. Please refer to the “Grant Information” in the SHSP NOFO.
 - i. If challenges do not exist, an applicant must indicate this and explain why the project will not encounter any challenges.
 - f. Project Milestones
 - i. This is a fill in the blank table for applicants to identify the proposed project milestones. Please reference the “Grant Information” section of the SHSP NOFO for more information about project milestones
 - ii. For additional milestone boxes, select the plus (+) button

4. Goals, Objectives and Outcomes

Applicants must describe the primary goal of the proposed project and how the expenditures support the selected core capability. The proposed project's goal must be followed with objectives and outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project.

The objectives must be specific, measurable, attainable, relevant and time-bound. The outcomes are the desired changes or results the proposed project will eventually accomplish. They are the desired end-state, which the applicant strives to achieve and can include visionary language.

Project outcomes show the gap between what is and what could be. A project may have more than one goal. If a project does have more than one goal, this will need to be added by clicking on the "ADD" button at the top of the screen after the "Save" button has been clicked on.

a. Goal

- i. Applicants must identify the goal of the proposed project and how grant funds will be used to support the project.

b. Overall Project Categories

- i. Please select one or more of the following categories in which your project best fits:
 1. Life Saving Activities
 2. Day-to-day operations
 3. Improving existing capabilities
 4. Emergency Management
 5. Public Safety Improvements
 6. School Safety
 7. Terrorism Preparedness
 8. Other: if selecting "other," please specific the category in the blank text box

i. Objectives

1. The proposed project's goal(s) must be followed with objectives that will identify how the gaps/shortfall will be lessened with the completion of the project. The objectives must be specific, measurable, attainable, relevant and time-bound.

- a. Select the plus (+) button if more "Objective" box(es) are needed.

ii. Outcomes

1. The proposed project's objective(s) must be followed with outcomes that will identify how the gaps/shortfall will be lessened with the completion of the project. The outcomes are the desired changes or results the proposed project will eventually accomplish. Project outcomes show the gap between what is and what could be.

- a. Select the plus (+) button if more "Outcome" box(es) are needed.

iii. Outcome Category

1. Please select one of the following categories in which describe the stated outcome:
 - a. Exercise
 - b. Training
 - c. Personnel
 - d. Plans
 - e. Equipment/Supplies
 - f. Other: if selecting “other,” please specific the category in the blank text box

State Homeland Security Grant (SHSP) Section

1. SHSP Project Scope

Applicants will be required to answer the following questions for SHSP specific grant applications.

- a. Project Type: Select from the drop-down menu the project type that best describes your project.
- b. Capabilities Building: Select from the drop-down menu “build” or “sustain” that best describes your project.
 - i. Select “build” if the project supports a new core capability
 - ii. Select “sustain” if the project supports the current core capability for your project
- c. Environmental and Historic Screening Memorandum:
This is a “yes/no” radio button for applicants to select the choice that is appropriate for the project activities:
 - i. Yes
 1. Applicants should select “Yes” if the project activities require new construction, renovation, retrofitting or the modifications of an existing structure
 - ii. No
 1. Applicants should select “No” if the project activities do not require new construction, renovation, retrofitting or the modifications of an existing structure
- d. Does this project support a NIMS typed resource. Please refer to the National Incident Management System Implementation in the SHSP NOFO?
 - i. Yes
 - ii. No
- e. Mission Area:
Select from the dropdown one of the FEMA mission areas: (refer to the “funding priorities chart” listed in the SHSP NOFO for the mission area that corresponds to the core capability)
 - i. Prevention
 - ii. Protection
 - iii. Mitigation
 - iv. Response
 - v. Recover
- f. Terrorism Nexus:

Applicants must provide a narrative outlining how the proposed project activities directly relate to a terrorism nexus. Applicants should describe the project's ability to prevent, protect or reduce the community impact from terrorism.

- i. This is blank narrative field for applicants to provide a detailed description of the project's direct link to a terrorism nexus.
- ii. Per federal grant guidance, activities implemented under SHSP **must support terrorism preparedness** by building or enhancing capabilities that relate to the prevention of, protection from, mitigation of, response to and recovery from terrorism in order to be considered eligible.
 1. All SHSP funded projects must assist sub-recipients in achieving target capabilities related to preventing, preparing for, protecting against or responding to acts of terrorism.
 2. Projects without a direct correlation to a terrorism nexus **will be deemed ineligible regardless of demonstrated need and prioritization.**

g. Core Capability:

Applicants must choose one core capability gap the proposed project is targeting. Applicants are encouraged to consult the FEMA Core Capability Development Sheets when developing project activities that correspond to the selected core capability gap. The FEMA Core Capability Development Sheets can be located here: <https://www.fema.gov/core-capability-development-sheets>.

1. There are two drop down boxes for applicants to provide information about the core capability gap the project supports: (Please refer to the funding priorities listed in the SHSP NOFO).
 1. Select from the drop down list the core capability.
 2. Select from the drop down list the core capability ranking that the applicant has identified locally, high, medium or low. Ranking should be based on the needs assessment process/mechanism.
 3. The State of Indiana ranking will auto-populate based on the core capability chosen

h. Planning, Organization, Equipment, Training, or Exercise (POETE)

The core capability gap identified will need to be characterized through the POETE (planning, organization, equipment, training or exercise). More than one POETE may be selected; however do not select Organization.

*Reminder – the POETE categories selected will populate the POETE overview and budget pages.

- i. Planning
- ii. Organization
- iii. Equipment
- iv. Training
- v. Exercise

2. Planning, Organization, Equipment, Training, Exercise (POETE) Overview

This section of the application is the POETE overview where the total amounts requested for each POETE category will need to be entered. These amounts should support your project towards fulfilling the National Preparedness Goal.

- a. Planning - total amount to be requested for Planning
- b. Organization - total amount to be requested for Organization
- c. Equipment - total amount to be requested for Equipment
- d. Training - total amount to be requested for Training

- e. Exercise - total amount to be requested for Exercise

Each amount entered in the POETE Overview section should reflect the total amount requested to support each POETE sub-category and discipline selection

- i. POETE Category Sub-Sections

1. This section breaks out the POETE Overview by sub-category, disciplines, description and the amount for each POETE selected on the previous page. To create additional rows for each POETE, click on the “+” button at the end of the row.
2. Items chosen in the sub-category will have parenthesis denoting which budget category will populate. For example: if materials are being requested for planning purposes and you choose under the planning sub-category; (Equipment greater than \$500) Materials required to conduct planning activities, an equipment budget form will populate based on this selection.
3. For each POETE sub-category line item(s) and discipline(s) selected, the amounts entered must be calculated and transferred to the total amount requested for each POETE budget form.

Below are the drop-down options for each POETE category:

Planning

Planning Sub-Category

1. Develop and enhance plans and protocols
2. Develop and implement homeland security support programs and adopt ongoing DHS National Initiatives
3. Develop or conduct assessments
4. Develop related terrorism prevention activities
5. Develop scenario plans that incorporate the range of prevention, protection, response and recovery activities
6. Hiring of full or part-time staff or contract/consultants to assist with planning activities (not for the purpose of hiring public safety personnel fulfilling traditional public safety duties)
7. Public Education and Outreach
8. (Equipment greater than \$500) Materials required to conduct planning activities
9. (Supplies less than \$500) Materials required to conduct planning activities
10. Travel/per diem related to planning activities

Planning Discipline

1. Agriculture
2. Cyber Security
3. Emergency Management
4. Emergency Medical Services (non fire-based)
5. Emergency Medical Services (fire based)
6. Fire Service
7. Health Care

8. Hazmat
9. Law Enforcement/LEPTA
10. Public Health
11. Public Safety Communications
12. Public Works

Equipment

Equipment Sub-Category

1. Personal Protective Equipment
2. Explosive Device Mitigation and Remediation Equipment
3. CBRNE Operational and Search and Rescue Equipment
4. Information Technology
5. Cybersecurity Enhancement Equipment
6. Interoperable Communications Equipment
7. Detection Equipment
8. Decontamination Equipment
9. Medical Equipment
10. Power Equipment
11. Chemical, Biological, Radiological, Nuclear and Explosive (CBRNE) Reference Materials
12. CBRNE Incident Response Vehicles
13. Terrorism Incident Prevention Equipment
14. Physical Security Enhancement Equipment
15. Inspection and Screening Systems
16. Animal and Plants Equipment
17. CBRNE Prevention and Response Watercraft
18. CBRNE Aviation Equipment
19. CBRNE Logistical Support Equipment
20. Intervention Equipment and
21. Other Authorized Equipment

Equipment Discipline

1. Agriculture
2. Cyber Security
3. Emergency Management
4. Emergency Medical Services (non fire-based)
5. Emergency Medical Services (fire based)
6. Fire Service
7. Health Care
8. Hazmat
9. Law Enforcement/LEPTA
10. Public Health
11. Public Safety Communications
12. Public Works

Training

Training Sub-Category

1. (Consultants & Contractors) Full or part-time staff or contractors/consultants
2. (Equipment greater than \$500) Develop, deliver and evaluate training
3. (Supplies less than \$500) Develop, deliver and evaluate training
4. (Training) Certification/Re-certification of instructors
5. (Training) Other items
6. (Training) Training workshops and conferences
7. Travel

Training Discipline

1. Agriculture
2. Cyber Security
3. Emergency Management
4. Emergency Medical Services (non fire-based)
5. Emergency Medical Services (fire based)
6. Fire Service
7. Health Care
8. Hazmat
9. Law Enforcement/LEPTA
10. Public Health
11. Public Safety Communications
12. Public Works

Exercise

Exercise Sub-Category

1. (Consultants & Contractors) Full or part-time staff or contractors/consultants
2. (Equipment greater than \$500) Develop, deliver and evaluate exercise
3. (Exercise) Exercise planning workshop
4. (Exercise) Implementation of HSEEP
5. (Exercise) Other items
6. (Supplies less than \$500) Develop, deliver and evaluate exercise
7. Travel

Exercise Discipline

1. Agriculture
2. Cyber Security
3. Emergency Management
4. Emergency Medical Services (non fire-based)
5. Emergency Medical Services (fire based)
6. Fire Service
7. Health Care
8. Hazmat
9. Law Enforcement/LEPTA

- 10. Public Health
- 11. Public Safety Communications
- 12. Public Works

Budget Forms Section

Based on the POETE sub-category selected in the POETE Overview, related budget pages will auto-populate into the following budget forms; Supplies, Training, Exercise, Equipment, Travel and Consultants and Contractors

If a budget form populates or doesn't populate, please refer back to the Planning, Organization, Equipment, Training and Exercise (POETE) Overview form and revise the selections and make the appropriate additions or deletions to include total amounts.

Applicants must include all project expenditures in the budget section.

Budget Form - Exercise

In the exercise form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form, outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

- a. Brief description of exercise scenario
- b. Exercise name
- c. Subcategory - The sub-category name should match the sub-category selection. If "other" is selected, an additional text/box is available to specify the exercise requested.
- d. Discipline - The discipline name should match the discipline selection.
- e. Enter the estimated exercise start date
- f. Enter the estimated exercise end date
- g. Enter the number of anticipated participants
- h. Enter the exercise costs- Grant costs entered must equal the amount selected for the sub-category and discipline.

Additional Question

Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded.

Budget Form – Training

In the training form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form, outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

- a. Brief description of training scenario
- b. Training or course name/ID Number

- c. Subcategory- The Sub-category name should match the sub-category selection. If “other” is selected, an additional text/box is available to specify the training requested.
- d. Discipline - The discipline name should match the discipline selection.
- e. Enter the estimated training start date
- f. Enter the estimated training end date
- g. Enter the number of anticipated participants
- i. Enter the training costs - Grant costs entered must equal the amount selected for the sub-category and discipline.

Additional Question

Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded

Budget Form – Supplies

Supplies is defined as expendable tangible personal property having per unit cost threshold of less than \$500.00. In the supplies costs form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form, outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

- a. Identify the supply item
- b. Choose the correct AEL (if applicable) – leave blank if there is not an AEL assigned to the supply item.
- c. Enter the type of item in the description box
- d. Identify the POETE selection – The POETE dropdown options should match the POETE selection.
- e. Discipline – The discipline name should match the discipline selection.
- f. Choose the scope from the drop down list – the dropdown selection will be based on information entered on the planning, training and exercise forms. For example, the project scope for supplies being purchased is for an exercise.
- g. Enter the number of units
- h. Enter the price per unit
- i. Enter the percentage funded by the grant

Additional Questions

1. How will the supplies facilitate meeting the stated project goals?
2. Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded

Budget Form – Equipment

Equipment is defined as any item non-expendable personal property having per unit cost threshold greater than or equal to \$500 and a useful life of one or more years. In the equipment costs form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form,

outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

- a. Identify the supply item
- b. Choose the correct AEL (if applicable) – leave blank if there is not an AEL assigned to the supply item.
- c. Enter the type of item in the description box
- d. Identify the POETE selection – The POETE dropdown options should match the POETE selection.
- e. Discipline – The discipline name should match the discipline selection.
- f. Choose the scope from the drop down list – the dropdown selection will be based on information entered on planning, training and exercise forms. For example, the project scope for equipment being purchased is for an exercise.
- g. Enter the number of units
- h. Enter the price per unit
- i. Enter the percentage funded by the grant
- j. Can the equipment items be deployed to support emergency or disaster operations for an Emergency Management Assistance Compact request?
- k. Can the equipment items be shared to support emergency or disaster operations for an Emergency Management Assistance Compact request?
- l. Is it anticipated this equipment item will be sole sourced?
 - i. If yes, then provide a brief justification as to why

Additional Questions

1. Narrate how purchasing equipment will facilitate meeting the stated project goals and objectives.
2. If requesting more than one piece of equipment, please prioritize the request from highest to lowest priority
3. Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded

Budget Form – Travel

In the travel costs form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form, outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

If more than one travel is being requested, a new page will need to be added. This can be completed by saving the page and clicking on the “add” button at the top of the page.

1. Travel
 - a. Purpose of travel – choose from the following
 - ii. Planning – Select the planning name/description from the dropdown list
 - iii. Training – Select the training/course ID

- iv. Exercise – Select the exercise name
- b. Is this for a conference? If yes, provide the name of the conference
- c. Enter the start and end dates for the trip
- d. Enter the location of travel
- e. Enter the total number of travelers – the number of travelers entered here will populate the number of boxes for the names of travelers
- f. Name of traveler(s) – Enter the names of the people traveling

2. Travel Expense

- a. choose one
 - i. Per diem
 - ii. Airfare
 - iii. Mileage
 - iv. Lodging
 - v. Rental Car
 - vi. Registration Fee
 - vii. Other
 - viii. Identify the POETE selection – The POETE dropdown options should match the POETE selection.
- b. Discipline – The discipline name should match the discipline selection. Enter the quantity.
- c. Enter the cost per day, item or mile
- d. Enter the percentage to be funded by the grant

Additional Questions

1. Describe why travel and/or training is necessary for the project.
2. Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded

Budget Form – Consultants

In the consultants form, there will be a summary for the sub-category and the discipline from the POETE Overview selections. The sub-category and discipline will be summarized in each budget form, outlining the amount of funds to enter for each budget form page. In this page the following questions will need to be answered in the table.

1. Consultants

- a. Type in the name of consultants or contractors
- b. Enter the service provided by consultant or contractor
- c. Identify the POETE selection – The POETE dropdown options should match the POETE selection.
- d. Discipline – The discipline name should match the discipline selection.
- e. Choose the scope from the drop down list – the dropdown selection will be based on information entered on the planning, training and exercise forms. For example, the project scope for consultants is to develop or enhance cybersecurity plans.

- f. Provide the hourly rate
- g. Provide the number of hours
- h. Enter the percentage to be funded by the grant
- i. Is it anticipated this service will be sole sourced?
 - i. If yes, provide a brief justification as to why

2. Contractors/Instructors

- a. Type in the name of consultants or contractors
- b. Enter the service provided by consultant or contractor
- c. Identify the POETE selection – The POETE dropdown options should match the POETE selection.
- d. Discipline – The discipline name should match the discipline selection.
- e. Choose the scope from the drop down list – the dropdown selection will be based on information entered on the planning, training and exercise forms. For example, the project scope for consultants is to develop or enhance cybersecurity plans.
- f. Provide the hourly rate
- g. Provide the number of hours
- h. Enter the percentage to be funded by the grant
- i. Is it anticipated this service will be sole sourced?
 - i. If yes, provide a brief justification as to why

Additional Questions

1. Will there be travel expenses for the consultants and contractors. If travel is to be utilized a travel page will need to be completed. This can be added from the POETE Overview
2. Explain why consultant or contractual services are necessary
3. Describe the purpose of the contracted service(s)
4. What was the basis for the selection of the consultant or contractor? (ex. Open bidding, sole source, etc.)

Note: Any contracted services must be acquired in accordance with state procurement guidelines which may be found at: www.in.gov/idoa/2944.htm. Narrate how funds will be utilized by the proposed project. If requesting an increase to a prior grant with the same project scope, please explain how the additional funds will enhance or expand the current project being funded

Budget Summary

This section is auto-populated form based on the information entered into the budget forms. This is to give an overview of the grant request.

Federal Funding Accountability & Transparency Summary (FFATA) Section:

This section will auto populate if the budget requested is \$30,000 or above. Please reference the FFATA section on page 29 in the SHSP NOFO

Certified Assurances & Special Provisions

There are three check boxes certifying that the information contained in the grant application is accurate. Once all of the checkboxes have been completed, click on the “save/next” button or the “save” button in order for the signature title and date to populate.

Attachments:

SHSP Required Attachments include:

1. When requesting equipment, please upload the 3 quotes obtained for each type of equipment in the section.
2. When requesting contractor services, please upload the 3 quotes obtained for each contractor listed in the budget.
3. When requesting consultant services, please upload the 3 quotes obtained for each consultant listed in the budget.
4. Assessment tool such as: Hazard Mitigation Plan, THIRA, Threat Assessment, After Action Report.
5. Job Descriptions.
6. Upload any other pertinent information regarding your application that would assist in reviewing the application.

Submitting Application

Before submitting the application, it is highly recommended to check for “global errors” button at the top of the screen. This will show any application forms that have errors and gives the opportunity to correct the errors. Once the application has been submitted in the IntelliGrants system, IDHS is unable to return any application back to the applicant for any reason.

APPENDIX C: CORE CAPABILITIES

The National Preparedness Goal identifies 32 Core Capabilities that address the greatest risks to the nation. A description and an example of project goals, objectives, and outcomes related to the Core Capabilities are listed below. **Applicants are not restricted to the example project goals, objectives and outcomes.**

Prevention			
Capabilities to avoid, prevent or stop a threatened or actual act of terrorism			
Core Capability	Definition	Project Goal/Objective	Project Outcome
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	Identify critical objectives during the planning process, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and ensure the objectives are implementable within the timeframe contemplated within the plan using available resources for prevention-related plans.	Implement operational prevention plans that dictate the roles and responsibilities and the sequence and scope of tasks needed to prevent an incident across a (#)-square-mile area with (#) residents within (#) minutes of notification of an imminent, credible terrorist threat.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.	Share prompt and actionable messages, to include National Terrorism Advisory System alerts, with the public and other stakeholders, as appropriate, to aid in the prevention of imminent or follow-on terrorist attacks, consistent with the timelines specified by existing processes and protocols.	Deliver reliable and actionable information, including National Terrorism Advisory System alerts, to (#) residents, including individuals with disabilities and those with access and functional needs or limited English proficiency, across a (#)-square-mile area within (#) minutes of notification of a credible, imminent terrorist threat.
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.	Execute operations with functional and integrated communications among appropriate entities to prevent initial or follow-on terrorist attacks within the United States in accordance with established protocols.	Establish unified command structures to coordinate prevention activities with all (#) relevant local law enforcement and all (#) relevant state and Federal agencies within (#) minutes of notification of a credible threat.

Core Capability	Definition	Project Goal/Objective	Project Outcome
Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning physical and cyber threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by local, state, tribal, territorial, Federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.	Share relevant, timely, and actionable information and analysis with local, state, tribal, territorial, federal, private sector, and international partners and develop and disseminate appropriate classified/unclassified products.	Establish information and intelligence-gathering priorities, identify and gather assets to support these priorities, and disseminate appropriate intelligence products to all (#) relevant local, state, and federal partners within (#) minutes of notification of a credible threat.
Interdiction and Disruption	Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.	Prevent terrorism financial/material support from reaching its target, consistent with established protocols.	Support tactical counterterrorism operations across a (#)-square-mile area within (#) minutes of notification of a credible threat.
Screening, Search, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio surveillance, sensor technologies, or physical	Initiate operations immediately to locate persons and networks associated with an imminent terrorist threat or act.	Initiate maximum screening operations of cargo, conveyances, mail, baggage, and people associated with a credible terrorist attack at all (#) ports of entry within (#) minutes of receiving actionable intelligence.

	investigation and intelligence.		
Forensics and Attribution	Conduct forensic analysis and attribute terrorist acts (including the means and methods of terrorism) to their source, to include forensic analysis as well as attribution for an attack and for the preparation for an attack, in an effort to prevent initial or follow-on acts and/or swiftly develop counter-options.	Prioritize chemical, biological, radiological, nuclear, and explosive (CBRNE) material (bulk and trace) collection and analysis to assist in preventing initial or follow-on terrorist acts.	Support CBRNE evidence collection across a (#)-square-mile area within (#) minutes of the conclusion of a terrorist incident.

Protection The capabilities to secure the homeland against acts of terrorism and manmade or natural disasters.			
Core Capability	Definition	Project Goal/Objective	Project Outcome
Planning	Conduct a systematic process engaging the whole community, as appropriate, in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	Develop protection plans that identify critical objectives based on planning requirements, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the planning objectives, and implement planning requirements within the timeframe contemplated within the plan using available resources for protection-related plans.	Ensure protection and/or sector-specific plans for all (#) state-owned or -operated critical infrastructure assets are reviewed and updated every (#) year(s) in accordance with federal, state, and local requirements.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.	Use effective and accessible indication and warning systems to communicate significant hazards to involved operators, security officials, and the public (including alerts, detection capabilities, and other necessary and appropriate assets).	Test public information and warning system(s) used to communicate to (#) residents, including individuals with disabilities and those with access or functional needs or limited English proficiency, across a (#)-square-mile area every (#) month(s).

Core Capability	Definition	Project Goal/Objective	Project Outcome
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.	Establish and maintain partnership structures among Protection elements to support networking, planning, and coordination.	Evaluate the effectiveness of mechanisms and protocols that coordinate activities to ensure unity of effort between all (#) relevant law enforcement and all (#) relevant state and federal agencies every (#) month(s).
Intelligence and Information Sharing	Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by local, state, tribal, territorial, federal, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among government or private sector entities, as appropriate.	Share relevant, timely, and actionable information and analysis with local, state, tribal, territorial, federal, private sector, and international partners, and develop and disseminate appropriate classified/unclassified products.	Review the effectiveness of intelligence and information sharing mechanisms that collect, integrate, and share information with all (#) relevant local law enforcement and state and federal agencies every (#) months.
Interdiction and Disruption	Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.	Deter, detect, interdict, and protect against domestic and transnational criminal and terrorist activities that threaten the security of the homeland across key operational activities and critical infrastructure sectors.	Establish and continually update procedures and protocols for securing all (#) international ports of entry within (#) hour(s) of identifying a threat or hazard.

Screening, Search, and Detection	Identify, discover, or locate threats and/or hazards through active and passive surveillance and search procedures. This may include the use of systematic examinations and assessments, bio-surveillance, sensor technologies, or physical investigation and intelligence.	Screen cargo, conveyances, mail, baggage, and people using information-based and physical screening technology and processes.	Continuously conduct screening, search, and detection operations, including CBRNE detection operations, at (#) land and (#) maritime ports of entry.
Access Control and Identity Verification	Apply and support necessary physical, technological, and cyber measures to control admittance to critical locations and systems.	Implement and maintain protocols to verify identity and authorize, grant, or deny physical and cyber access to specific locations, information, and networks.	Every (#) month(s), test, review, and/or revise security procedures of all (#) state-owned or -operated critical infrastructure facilities to prevent unauthorized physical access.
Cybersecurity	Protect (and, if needed, restore) electronic communications systems, information, and services from damage, unauthorized use, and exploitation.	Implement risk-informed guidelines, regulations, and standards to ensure the security, reliability, integrity, and availability of critical information, records, and communications systems and services through collaborative cybersecurity initiatives and efforts.	Review intrusion detection reports, suspicious activity reports, audit logs, vulnerability scans, or the appropriate equivalent for all (#) critical systems on a (weekly/monthly) basis.
Physical Protective Measures	Implement and maintain risk-informed countermeasures and policies protecting people, borders, structures, materials, products, and systems associated with key operational activities and critical infrastructure sectors.	Identify, assess, and mitigate vulnerabilities to incidents through the deployment of physical protective measures.	Complete reviews and/or tests of physical protections, security countermeasures, and policies at all (#) state-owned or -operated critical infrastructure facilities every (#) months.
Risk Management for Protection Programs and Activities	Identify, assess, and prioritize risks to inform Protection activities,	Ensure critical infrastructure sectors and Protection elements have and maintain risk assessment processes to identify	Review the categorization of all (#) critical infrastructure priorities every (#) months.

	countermeasures, and investments.	and prioritize assets, systems, networks, and functions.	
Supply Chain Integrity and Security	Strengthen the security and resilience of the supply chain.	Secure and make resilient key nodes, methods of transport between nodes, and materials in transit.	Review security measures at all (#) key cross-sector supply chain nodes every (#) months to ensure availability of critical resources (such as food, potable water, pharmaceuticals, blood products, and building supplies) during incidents.

Mitigation

The capabilities to reduce the loss of life and property by lessening the impact of disasters.

Core Capability	Definition	Project Goal/Objective	Project Outcome
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	Develop approved hazard mitigation plans that address relevant threats/hazards in accordance with the results of their risk assessment within all local, state, tribal, territorial, and federal partners.	Update and enhance all hazard mitigation plans in (#) counties with (#) residents every (#) year(s) in accordance with federal, state, and local requirements.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.	Communicate appropriate information, in an accessible manner, on the risks faced within a community after the conduct of a risk assessment.	Conduct outreach to deliver appropriate threat and hazard information to all whole community partners (#) month(s) after conducting a risk assessment.

Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.	Establish protocols to integrate mitigation data elements in support of operations with local, state, tribal, territorial, and insular area partners and in coordination with Federal agencies.	Collaborate with whole community partners, including (#) government agencies, (#) private sector partners, and (#) non-profit organizations, on (#) mitigation projects every (#) years.
Community Resilience	Enable the recognition, understanding, communication of, and planning for risk, and empower individuals and communities to make informed risk management decisions necessary to adapt to, withstand, and quickly recover from future incidents.	Empower individuals and communities to make informed decisions to facilitate actions necessary to adapt to, withstand, and quickly recover from future incidents.	Provide (#) terrorism preparedness education programs to residents in (#) local jurisdiction counties every year.
Long-term Vulnerability Reduction	Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused threats and hazards by lessening the likelihood, severity, and duration of the adverse consequences.	Achieve a measurable decrease in the long-term vulnerability of the Nation against current baselines amid a growing population base, increasing reliance upon information technology, and expanding infrastructure base.	Partner with critical infrastructure owners to inspect (#) critical structures' compliance with applicable building codes every (#) months.
Risk and Disaster Resilience Assessment	Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk	Complete a risk assessment that defines localized vulnerabilities and consequences associated with potential technological and human-caused threats and hazards to their natural,	Complete a risk and disaster resilience assessment to analyze vulnerabilities, resilience capabilities, and estimate impacts of threats and hazards across a (#)-square-mile area with (#) residents every (#) year(s) in

	and increase its resilience.	human, physical, cyber, and socioeconomic interests.	accordance with federal, state, and local requirements.
Threats and Hazards Identification	Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.	Identify the threats and hazards in collaboration with the whole community, against a national standard based on sound science.	In collaboration with whole community partners, identify and determine the frequency and magnitude of threats and hazards likely to occur in a (#)-square-mile area with (#) residents every (#) year(s), in accordance with federal, state, and local requirements.

Response

Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.

Core Capability	Definition	Project Goal/Objective	Project Outcome
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	Develop operational plans that adequately identify critical objectives based on the planning requirement, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the objectives, and are implementable within the timeframe contemplated in the plan using available resources.	Implement the unified development, distribution, and implementation of incident action plans that identify specific tasks to conduct response operations for (#) responders within (#) minutes of an incident.
Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively. Relay information regarding any threat or hazard, as well as the	Inform all affected segments of society of critical lifesaving and life-sustaining information by all means necessary, including accessible tools, to expedite the delivery of emergency services and aid the public to take protective actions.	Deliver credible and actionable information to (#) residents, including those with access or functional needs and people with limited English proficiency, within (#) minutes of an incident.

	actions being taken and the assistance being made available, as appropriate.		
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.	Mobilize all critical resources and establish command, control, and coordination structures within the affected community, in other coordinating bodies in surrounding communities, and across the Nation, and maintain as needed throughout the duration of an incident.	Establish (#) incident command posts and coordinate (#) emergency operations centers within (#) hours of an incident.
Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.	Decrease and stabilize immediate infrastructure threats to the affected population, to include survivors in the heavily damaged zone, nearby communities that may be affected by cascading effects, and mass care support facilities and evacuation processing centers with a focus on life sustainment and congregate care services.	Stabilize all critical infrastructure facilities, including (#) hospitals, (#) emergency response facilities, local water service for (#) residents, and electric utilities service for (#) residents, to support response efforts and life sustainment within (#) hours of an incident.
Critical Transportation	Provide transportation (including infrastructure access and accessible transportation services) for response priority objectives, including the evacuation of people and animals and the delivery of vital response personnel, equipment, and services into the affected areas.	Establish physical access through appropriate transportation corridors and deliver required resources to save lives and to meet the needs of disaster survivors.	Complete the evacuation of (#) residents, including (#) residents with access/functional needs, and (#) household pets and service animals across a (#)-square-mile area within (#) hours of a mandatory evacuation order.
Environmental Response/Health and Safety	Conduct appropriate measures to ensure the protection of the health and safety of the public and workers, as well as	Minimize public exposure to environmental hazards through assessment of the hazards and	Hazardous materials teams complete decontamination operations for (#) responders and (#) residents in the (#)-square-mile

	the environment, from all hazards in support of responder operations and the affected communities.	implementation of public protective actions.	incident area within (#) hours of an incident.
Fatality Management Services	Provide fatality management services, including decedent remains recovery and victim identification, and work with local, state, tribal, territorial, insular area, and federal authorities to provide mortuary processes, temporary storage or permanent internment solutions, sharing information with mass care services for the purpose of reunifying family members and caregivers with missing persons/remains, and providing counseling to the bereaved.	Mitigate hazards from remains, facilitate care to survivors, and return remains for final disposition.	Provide temporary mortuary storage services for (#) fatalities within (#) hours of the incident.
Fire Management and Suppression	Provide structural, wildland, and specialized firefighting capabilities to manage and suppress fires of all types, kinds, and complexities while protecting the lives, property, and environment in the affected area.	Provide traditional first response or initial attack firefighting services.	Begin firefighting and suppression operations to protect (#) acres of land and (#) critical infrastructures within (#) minutes of notification, and sustain operations for (#) hours.
Logistics and Supply Chain Management	Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize	Mobilize and deliver governmental, nongovernmental, and private sector resources to save lives, sustain lives, meet basic human needs, stabilize the incident, and transition to recovery, to include moving and delivering resources and	Provide emergency power to all (#) critical facilities and provide responders with (#) gallons of fuel within (#) hours of an incident. Maintain services for (#) days.

	logistics capabilities and enable the restoration of impacted supply chains.	services to meet the needs of disaster survivors	
Mass Care Services	Provide life-sustaining and human services to the affected population, to include hydration, feeding, sheltering, temporary housing, evacuee support, reunification, and distribution of emergency supplies	Move and deliver resources and capabilities to meet the needs of disaster survivors, including individuals with access and functional needs.	Provide emergency sheltering for (#) residents, including (#) residents with access/functional needs and (#) household pets and service animals within (#) hours of an incident. Maintain sheltering operations for (#) days.
Mass Search and Rescue Operations	Deliver traditional and atypical search and rescue capabilities, including personnel, services, animals, and assets to survivors in need, with the goal of saving the greatest number of endangered lives in the shortest time possible	Conduct search and rescue operations to locate and rescue persons in distress.	Conduct search and rescue operations across a (#)-square-mile area to locate all (#) missing residents within (#) hours of an incident.
On-Scene Security, Protection, and Law Enforcement	Ensure a safe and secure environment through law enforcement and related security and protection operations for people and communities located within affected areas and also for response personnel engaged in lifesaving and life-sustaining operations.	Provide and maintain on-scene security and meet the protection needs of the affected population over a geographically dispersed area while eliminating or mitigating the risk of further damage to persons, property, and the environment.	Establish a process for verifying and credentialing (#) responders and (#) residents for access to a (#)-square-mile disaster area within (#) hours of an incident.
Operational Communications	Ensure the capacity for timely communications in support of security, situational awareness, and operations, by any and all means available, among and between affected communities in	Ensure the capacity to communicate with both the emergency response community and the affected populations and establish interoperable voice and data communications between	Establish (#) frequencies for interoperable voice and data communications across a (#)-square-mile area within (#) hours of an incident.

	the impact area and all response forces	federal, tribal, state, and local first responders.	
Public Health, Healthcare, and Emergency Medical Services	Provide lifesaving medical treatment via Emergency Medical Services and related operations, and avoid additional disease and injury by providing targeted public health, medical, and behavioral health support and products to all affected populations.	Deliver medical countermeasures to exposed populations.	Deliver medical countermeasures (including vaccines, antivirals, antibiotics, and antitoxins) to (#) residents in the exposed area spanning (#) square miles within (#) hours of a public health emergency.
Situational Assessment	Provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of the response.	Deliver information sufficient to inform decision making regarding immediate lifesaving and life-sustaining activities, and engage governmental, private, and civic sector resources within and outside of the affected area to meet basic human needs and stabilize the incident.	Gather and analyze information to inform decision makers of potential follow-on or continuing threats/hazards that may impact a (#)-square-mile area within (#) hours of an incident. Continue to gather and analyze information for (#) hours.

Recovery

Recover through a focus on the timely restoration, strengthening and revitalization of infrastructure, housing and a sustainable economy, as well as the health, social, cultural, historic and environmental fabric of communities affected by a catastrophic incident.

Core Capability	Definition	Project Goal/Objective	Project Outcome
Planning	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical-level approaches to meet defined objectives.	Complete an initial recovery plan that provides an overall strategy and timeline, addresses all core capabilities, and integrates socioeconomic, demographic, accessibility, technology, and risk assessment considerations (including projected climate change impacts), which will be implemented in accordance with the timeline contained in the plan.	Implement the unified development, distribution, and implementation of incident recovery plan that identifies specific tasks to conduct recovery efforts.

Public Information and Warning	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively. Relay information regarding any threat or hazard, as well as the actions being taken and the assistance being made available, as appropriate.	Reach all populations within the community with effective actionable recovery-related public information messaging and communications that are accessible to people with disabilities and people with limited English proficiency; protect the health and safety of the affected population; help manage expectations; and ensure stakeholders have a clear understanding of available assistance and their roles and responsibilities.	Distribute information about available recovery-based assistance to (#) residents, including those with access or functional needs and people with limited English proficiency, within (#) hours of an incident.
Operational Coordination	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.	Establish tiered, integrated leadership and inclusive coordinating organizations that operate with a unity of effort and are supported by sufficient assessment and analysis to provide defined structure and decision-making processes for recovery activities.	Establish a process for acquiring funding and assistance from federal, state, and local entities, as well as nongovernmental and private sector partners, to support the recovery of (#) residents across a (#)-square-mile area within (#) days of an incident.
Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.	Develop a plan with a specified timeline for redeveloping community infrastructures to contribute to resiliency, accessibility, and sustainability.	Restore all major transportation systems, including (#) major highways, (#) rail lines, (#) airports, and (#) ports/waterways, within (#) days of an incident.
Economic Recovery	Return economic and business activities (including food and agriculture) to a healthy state, and develop new business and employment opportunities that result	Conduct a preliminary assessment of economic issues and identify potential inhibitors to fostering stabilization of the affected communities.	Facilitate the restoration of economic activities by completing an economic impact assessment within (#) days of an incident and develop an economic recovery timeline within (#) days of an incident to recover \$(#) in direct

	in an economically viable community.		and \$(#) in indirect economic losses.
Health and Social Services	Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.	Complete an assessment of community health and social service needs; prioritize these needs, including accessibility requirements, based on the whole community's input and participation in the recovery planning process; and develop a comprehensive recovery timeline	Establish temporary medical, public health, behavioral health, and social service functions for (#) residents over a (#)-square-mile area for (#) days of an incident until permanent services are restored.
Housing	Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.	Ensure community housing recovery plans continue to address interim housing needs, assess options for permanent housing, and define a timeline for achieving a resilient, accessible, and sustainable housing market.	Inspect all (#) damaged properties and issue all (#) requested building permits and all (#) contractor licenses within (#) months of an incident.
Natural and Cultural Resources	Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and Executive orders.	Complete an assessment of affected natural and cultural resources, and develop a timeline for addressing these impacts in a sustainable and resilient manner.	Protect and reduce impacts to (#) cultural resources within (#) months of an incident, in compliance with appropriate historical preservation laws.

APPENDIX D: SAMPLE SYSTEM FOR AWARD MANAGEMENT LETTER

System for Award Management (SAM)

Background

The System for Award Management (SAM) is a computer system accessed by the Internet managed by the U.S. Government. Entities must have an active registration in SAM to do business with the U.S. Government. An “entity” is the company, business, or organization registering in SAM. Each entity is represented by a nine-digit unique entity identifier, the Data Universal Numbering System (DUNS®) Number as issued by Dun & Bradstreet.

Only individuals who are authorized to represent a particular entity, or individuals representing themselves as an entity, may register an entity in SAM. Accessing or using SAM, or information contained therein, for any unauthorized or illegal purposes, may have civil and criminal penalties, and may negatively impact the status of the SAM registration maintained for the entity.

Instructions to Entity

1. **Single Entity.** Use this template to formally appoint an Entity Administrator for 1) a single, domestic entity located in the U.S. or its outlying areas, or 2) a single, international entity that uses banking information from a U.S. financial institution in their SAM entity registration.
2. **Complete the template.** Fill in the blanks. Enter the highlighted information on the next two pages. **Do not include this instruction page in your letter.**
3. **Print the letter on your entity's letterhead.** If you don't have letterhead, enter your entity's legal business name and physical address at the top of the letter before printing.
4. **Sign the completed letter in the presence of the notary.** Make sure the person who signs the letter is someone with signatory authority, i.e. who can make commitments on behalf of the entity like an executive, officer, partner, or other authorized signatory. The notary will confirm the signatory's identity in accordance with your state's notary procedures.
5. **Mail the completed, signed, notarized letter.** Your letter will be reviewed for completeness upon receipt at the Federal Service Desk at:

FEDERAL SERVICE DESK
ATTN: [SAM.GOV](https://sam.gov) REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON, KY 40741-7285
UNITED STATES OF AMERICA

If incomplete or incorrect, you will be contacted. **Your registration will not be activated until an approved letter is on file.**

[Insert Date]

FEDERAL SERVICE DESK
ATTN: **SAM.GOV** REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON, KY 40741-7285
UNITED STATES OF AMERICA

SUBJECT: Information Required to Activate SAM Entity Registration

Purpose of Letter

The purpose of this letter is to formally appoint an Entity Administrator for the named Entity and to attest to the accuracy of the information contained in the entity registration.

Designation of Entity Administrator

I, **[Insert Name and Title of Signatory]**, the below signed individual, hereby confirm that the appointed Entity Administrator is an authorized officer, agent, or representative of the Entity. This letter authorizes the appointed Entity Administrator to manage the Entity's registration record, its associated users, and their roles to the Entity, in the System for Award Management (SAM).

Entity Covered by this Letter

DUNS® Number: _____

Legal Business Name: _____

Physical Address: _____

Entity Administrator Contact Information

Full Name: _____

Phone Number: _____

Email Address: _____

**The Entity Administrator must have an individual user account in SAM associated with the email address listed.*

Account Administration Preference (ONLY CHOOSE ONE)

*You must choose **ONE** of the two following statements by checking the applicable box.*

Remember, there is no cost to register in SAM -- it is free. However, if you choose to have a third-party agent administer your SAM registration, with or without an associated fee, you must check the Third-Party Agent Designation box below.

☐ **Self-Administration Confirmation**

For the purpose of registering with the United States Government through the online System for Award Management (SAM), I do not authorize any third party to act on behalf of the Entity listed above. I have checked the Self-Administration Confirmation box to indicate that the designated Entity Administrator is not a third-party agent.

☐ **Third-Party Agent Designation**

For the purpose of registering with the United States Government through the online System for Award Management (SAM), I do hereby authorize **[insert full name, phone number, address, and email address of the Third-Party Agent]** (Designated Third-Party Agent) to act on behalf of the Entity listed above. This authorization permits the Designated Third-Party Agent to conduct all

normal, common business functions within SAM while binding the signatory to all actions conducted and representations made as a result of authorization granted herein. I have checked the Third-Party Agent Designation box and completed the above information to indicate that the designated Entity Administrator is a third-party agent.

Attestation

I, the below-signed, attest to the following:

- All information contained in this letter is complete and accurate.
- The designated Entity Administrator listed above has an individual SAM User Account created with the email address provided in this letter.
- The banking information provided for Electronic Funds Transfer on the Financial Information Page in the SAM.gov registration for the Entity above is correct and accurate.

Respectfully,

[Insert Full Name of Signatory]
[Insert Title of Signatory (i.e. Executive etc.)]
[Insert Email of Signatory]
[Insert Entity Legal Business Name]
[Insert Entity Physical Address]

TO BE COMPLETED BY NOTARY

(in accordance with State notary requirements)

State of _____

County of _____

This instrument was acknowledged before me this _____ day of _____ (month), _____ (year), by _____ (name of officer or agent, title or officer or agent) of _____ (name of entity).

_____ Personally Known _____ Produced Identification

Type of ID and Number on ID _____ (Seal)

Signature of Notary

Name of Notary
(Typed, Stamped or Printed)

Notary Public, State of _____